Audit Plan 2010/11

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	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. Position - August 2012 No change from June update Position - November 2012 No change from August update 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. Position - May 2013 No change from January update.	ICT Client Manager	March 2012	✓	Dec 2012 May 2013 Dec 2013

IT Remote Working 2010/11							
Final report issued January 2012							
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved** ✕ or ✓	**Revised Deadline**
			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. 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. **Position – February 2014 Signed off by TRDC Management Board – 19th Nov and ITSG – 10th December 2013. Refresh points are in place and managed through fortnightly Information Security meetings with David Macintosh (Security expert, assigned to W3R account) and ICT Client Manager – Emma Tiernan.**				

	IT Remote Working 2010/11						
	Final report issued January 2012						
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved** **× or ✓**	**Revised Deadline**
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 • 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. Position - November 2012 No change from August update 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.	ICT Client Manager Helen Smith (WBC Mobile phones Phil King (TRDC mobiles)	March 2012	✓	Dec 2012 May 2013 July 2013 Dec 2013

IT Remote Working 2010/11							
Final report issued January 2012							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			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. 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. 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. **Position – February 2014** **Signed off by TRDC Management Board – 19th Nov and ITSG – 10th**				

IT Remote Working 2010/11

Final report issued January 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			December 2013. Refresh points are in place and managed through fortnightly Information Security meetings with David Macintosh (Security expert, assigned to W3R account) and ICT Client Manager – Emma Tiernan.				
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 Position - August 2012 Rollout of this functionality is being planned and intended to be in place within the deadline. Position - November 2012 No change from August update Position - January 2013 Two factor authentication has not been rolled out but is planned to be completed before service commencement with Capita.	ICT Client Manager	June 2012	✗ (part met)	Dec 2012 May 2013 Dec 2013 **Mar 2014**

IT Remote Working 2010/11							
Final report issued January 2012							
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved** **× or ✓**	**Revised Deadline**
			Position - May 2013 Dual Factor Authentication on current equipment will not be compliant with PSN CoCo standards. This will be reviewed during transformation. 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. Position - November 2013 Controlled rollout is currently in progress, including revised user instructions. **Position – February 2014** **The tokens are in the progress of being deployed to staff. Once this is completed use of a single sign on with password only will be switched off.**				

IT Remote Working 2010/11							
Final report issued January 2012							
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved** **× or ✓**	**Revised Deadline**
09	Management should ensure that security settings on mobile device handsets such as iPhones enforce the following settings: • Devices should be required to be protected by a power on password or PIN. Any default passwords or PIN codes need to be changed on first use, these should not be removed unless authorised in writing by ICT; • Devices should be set to 'Non-discoverable' or 'Hidden' to help prevent information disclosure by short distance data transfer; and	Important	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. 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.	ICT Client Manager	March 2013	✗	March 2014 **Dec 2015**

IT Remote Working 2010/11

Final report issued January 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	• Users should be restricted from reconfiguring the security settings on devices. The remote wipe solution should be investigated to ensure all the data stored on the mobile phone can be wiped either remotely or by exceeding the login threshold. Management should ensure that only ICT approved mobile devices should are procured and issued and all confidential and sensitive data held on mobile device handsets such as iPhones is adequately encrypted according to the sensitivity of the data		Outstanding audit recommendations will be discussed during due diligence and reported to the next Audit committee meeting. 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. Position - May 2013 No change from above. 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. Position - November 2013 No change to above. This needs to be prioritised in line with other ICT projects. Government directive for				

IT Remote Working 2010/11

Final report issued January 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			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 accreditation. A revised timeframe for implementation of this recommendation needs to be agreed. **Position – February 2014** **Already requested that this deadline is moved to Dec 2015, in line with PSN requirements to manage data on mobile devices.**				

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	Agreed Position - August 2012 This has not progressed due to resource constraints caused by work on the ICT Outsourcing 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. 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. 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.	ICT Client Manager	October 2012	✗	Mar 2013 May 2013 Sept 2013 May 2014

IT Project Management 2011/12							
Final report issued November 2011							
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved** **✗ or ✓**	**Revised Deadline**
			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. 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. **Position – February 2014** **No change**				

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	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. 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 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	Cathy Watson, Head of HR **Sue Adlam, Human Resources Manager**	End of March 2013.	✓ **Reviewed by both Councils and approved**	Dec 2013

Recruitment 2011/12						
Final report issued August 2012						
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved** **✗ or ✓**	**Revised Deadline**
			Management Board in April 2013. Position - May 2013 For review at LeadershipTeam / Management Board June / July 2013. 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. Position - October 2013 Review of options ongoing. Report to be submitted to WBC and TRDC in November / December 2013 for a decision. Position – November 2013 As above **Position – February 2014 Recommendation will be that WBC retains contract with COMENSURA. Disruption in implementing a new ICT platform and all set up data,**				

Recruitment 2011/12

Final report issued August 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			training requirements with very low use of temporary staff. Report for MB recommended TRDC take on COMENSURA via MSTAR framework was approved. Therefore, report for LT to join MSTAR framework is in progress.				

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 could be faced are documented with appropriate counter measures put in place.	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 recovery plan, post data-centre move (scheduled for Q4 2013). Position - August 2013	ICT Client Manager	May 2013	✗	Dec 2013 **May 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
			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. 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. **Position – February 2014** **This is being progressed through the data centre migration project. There is a backup workstream within this project which is currently assessing all backups. Note the revised data centre migration is end of June 2014. This**				

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
			allows for critical Council business, year end, elections, and IER go live and was agreed at 10th Dec – ITSG.				
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	Agreed Position - January 2013 A DR test is being planned before the service is transferred to Capita are expected to continue this into the future. 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 year. Before the expiry of these agreements, Capita will have their own Disaster Plan in place (post data centre move). Position - August 2013 Data centre move design planning	ICT Client Manager	March 2013	✗ (part resolved)	Dec 2013 Apr 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
			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. 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. **Position – February 2014** **In progress. Engagement with existing DR vendors has taken place, as well as a review of service continuity plans. DR test will take place prior to the data centre move at the end of June 2014.**				

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	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. 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. Position - May 2013 The above position has been endorsed and supported by the ICT Client Management Team. Position - August 2013 Data centre design has commenced.	ICT Client Manager	November 2013	✘ (part resolved)	Dec 2013 **May 2014**

IT Server Virtualisation (ICT) 2012/13

Final report issued December 2012

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Within the design itself all vmware environments will be reviewed and aligned with best practice standards. Position - November 2013 In progress **Position – February 2014 VMWare design document completed and signed off. This doc includes a review of all current virtual servers. Awaiting implementation in line with data centre migration.**				

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
Data Transparency 2012/13							
Final report issued February 2013							
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	Position - May 2013 Not yet due. 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. Position - November 2013 Update ongoing. Report to Leadership Team will be submitted in the new year. **Position – February 2014** **Following consultation on a revised Code of recommended practice on Data Transparency, DCLG published a response and its proposals for the way forward in December 2013. The proposals extend the data government want local authorities to publish and also set out plans to make publication mandatory. Watford**	Kathryn Robson, Partnership and Performance Section Head	End of July 2013	✓	End of Sept 2013 Feb 2014

Data Transparency 2012/13							
Final report issued February 2013							
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved** **× or ✓**	**Revised Deadline**
			BC's Leadership Team considered the government proposals on 18 February 2014 and has agreed a way forward for Watford BC based on government recommendations that will ensure compliance. As yet, the government proposals are not statutory but this is expected shortly. Partnerships and Performance section head will implement by April 2014.				
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	Position - May 2013 Not yet due. 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. This will be included in the report to Leadership Team. Position - November 2013	Kathryn Robson, Partnership and Performance Section Head	End of July 2013	✓	End Sept 2013 Feb 2014

Data Transparency 2012/13

Final report issued February 2013

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Report to Leadership Team will be submitted in the new year. **Position – February 2014** **The information that will be published in line with the new government proposals under the Code of recommended practice on Data Transparency will be redacted where applicable to avoid misuse. Advice will be sort from the Head of Democracy and Governance on any areas where redaction might be appropriate or where there are any concerns as to the information being published having the potential to be misused.**				

Data Protection 2012/13

Final report issued 18th 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	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. Position - May 2013 Not yet due. Position - August 2013 Some improvements achieved however on-going monitoring of the service is continuing. Position - November 2013 Response rates for FOI are reported in the quarterly managing the business indicators and at Community and Customer Service Quarterly Review. All Data Access requests have been responded to within statutory guidelines. Response rates within statutory timescales for FOI's have improved year on year and are currently at	Danielle Negrello, Customer Service Section Head	End of July 2013	✓	Sept 2013 Jan 2014

Data Protection 2012/13

Final report issued 18th April 2013

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			83%. Monitoring continues to ensure this improvement is sustained by all areas of the business. **Position – February 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	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. Position - May 2013 Not yet due 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. Position - November 2013 Follow up Rescheduled for December 2013.	Danielle Negrello, Customer Service Section Head	End of July 2013	✓	Sept 2013 Dec 2013

Data Protection 2012/13

Final report issued 18th April 2013

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
			Position – February 2014 Completed. Services have confirmed all flags have been updated and removed from their systems where necessary.				

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	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	Service/ Building Managers to complete spreadsheet. Buildings and Projects to send information to utility company.	Monthly from May 2013	✓	April 2014

Carbon Management 2012/13							
Final report issued May 2013							
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved** **✗ or ✓**	**Revised Deadline**
			utility company for them to prepare their bill. Sending the information monthly rather than annually would be more practical. Position - May 2013 Not yet due Position – August 2013 No change from May 2013 update. 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. **Position – February 2014** **Real time data is now sent for electricity meters via smart meters. Billing is accurate and not estimated. Finance confirm this is working. Carbon Reporting officer has access to relevant information.**				

Carbon Management 2012/13

Final report issued May 2013

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✕ or ✓	Revised Deadline
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	This should be the responsibility of building managers as they should understand the energy consumption of their own buildings.

Position - May 2013
Not yet due.

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.

Position - November 2013
Meter readings that are received are recorded by Buildings & Projects officer on G: Drive and picked up for | Service Manager/ Building Managers | Monthly from May 2013 | ✓ | April 2014 |

Carbon Management 2012/13							
Final report issued May 2013							
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved ✗ or ✓**	**Revised Deadline**
			analysis by Carbon Reporting Officer. **Position – February 2014** **Energy consumption data recorded on spreadsheet is reviewed by Carbon Reporting Officer, Procurement Manager, Head of Facilities Manager. Noticeable trends will be acted upon.**				
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	The implementation date will depend on the installation of the smart meters. Position - May 2013 Not yet due. Position – August 2013 No change from May 2013 update. 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. **Position – February 2014** **Period of monitoring has now**	Alan Gough, Head of Environmental Health	End of October 2013. (Not yet due)	✓	April 2014

Carbon Management 2012/13							
Final report issued May 2013							
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved** **× or ✓**	**Revised Deadline**
			expired.				
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	The implementation date will depend on the installation of the smart meters. Position - May 2013 Not yet due. Position – August 2013 No change from May 2013 update. 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. **Position – February 2014** **Not possible to monitor this within the Facilities management service. Individuals are responsible for their own actions/inactions. Confirmation that billing is accurate from finance team suggests this is no longer a required function.**	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
5.2.3	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. **Position – February 2014** **Work progressing.**	Partnerships and Performance Section Head	September 2013	✗	Mar 2014
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:	Important	Agreed Position - May 2013 Not yet due. Position – August 2013 This will be discussed with the Head	Partnerships and Performance Section Head	September 2013	✓	Feb 2014

Partnerships 2012/13							
Final report issued May 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	• 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.		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. **Position – February 2014** **Risks for significant partnership programmes are recorded and reviewed (for example Watford Health Campus). Services have updated risk registers and the corporate risk register has also ✓been revised and updated.**				

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	Agreed Position - May 2013 Not yet due. Position – August 2013 To be considered as part of the Framework update. Position – November 2013 Data sharing protocol being revised. This will form discussions at Risk Management Group in the new year. **Position – February 2014** **Requested agenda item for March 2014 Watford BC Risk Management Group.**	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	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 Risk Management Group met in September. Corporate Risk Register agreed. All services requested to update service risk registers in new format. **Position – February 2014** **Service risk registers updated and on G:Drive**	Head of Democracy & Governance	30th June 2013	✓	31 Oct 2013 February 2014 for Service Risk Registers to be updated
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.	Head of Democracy & Governance	30th June 2013	✘	31 Oct 2013 February 2014 for

Risk Management 2012/13							
Final report issued May 2013							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✓	Revised Deadline
			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. **Position – February 2014** **Being updated**				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	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	Head of Democracy & Governance	30th June 2013	✘	31 Oct 2013 Feb 2014 for Service risk registers and action plans to be updated

Risk Management 2012/13							
Final report issued May 2013							
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved ✗ or ✓**	**Revised Deadline**
	appropriate action.		registers and actions plans to be reviewed at meeting in November. **Position – February 2014** **Action plan template circulated to service heads for completion. Will be discussed at next Group meeting.**				

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**
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	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	Quality Assurance team **Robert Della-Sala** **Head of Service**	30/09/13	✓	Dec 2013

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**
	errors detected.		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. **Position – February 2014** **The QA system has been re-installed but is still not functional. There is a plan in place to get this module working by the 31/3/14. In the interim, manual QA checks have been undertaken since 1/11/13. Staff are given individual feedback on a daily/weekly and monthly basis. Error rates are being recorded at team and individual level for both financial and non financial errors. As a result errors have reduced from over 40% to between 15 and 20%. We are not dependant on the QA module working as the process**				

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
			that is in place now is fit for purpose. We will continue to see if we can automate the process in the meantime, but consider that the action is completed.				

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
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 **Position – February 2014** **Update CPR's uploaded as key procurement document.** **Terms of Reference meeting due 06/02 to establish a Task Group, as part of the Contract Management Forum, to develop a Toolkit for Procurement and Contract Management.**	Corporate Procurement Manager	31 January 2014	✗	**31 March 2014**
05	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. Given the close working relationship between Watford Borough Council and Three Rivers District Council we	Medium	Position – November 2013 Not yet due **Position – February 2014** **This work has not yet commenced. It is something that may be considered in the future. But there are no plans to undertake this work at this point in time.**	Director of Finance	31 March 2014 and on-going (Not yet due)	✓	

Procurement and Contract Management Baseline Assessment							
Final report issued October 2013							
Ref No.	**Recommendation**	**Priority**	**Action to Date**	**Responsibility**	**Deadline**	**Resolved** **✗ or ✓**	**Revised Deadline**
	would recommend that analysis is completed to identify where synergies are present in order to potentially achieve better economies of scale.						
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 **Position – February 2014 There is already close working between the procurement functions. There are no plans to formally share the service at this point. But this will be reviewed annually as part of the service and financial planning process.**	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 **Position – February 2014** **Checks have been carried out for Quarter 3 of 13-14 and will now be carried out quarterly and reported as part of the performance indicator framework within Housing**	Housing Demand Manager (for implementation) Housing Section Head (to add to Housing quarterly	31 January 2014	✓	
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 section if occasion arises for them to deal with an application/allocation from an individual person known to them in a personal capacity.	Medium	Position – November 2013 Not yet due **Position – February 2014** **Taken to Housing Team Meeting to explain that this will be implemented shortly.** **Recommended by Legal Section to take this item to the corporate Risk Management and Business Continuity Steering Group on 10 March 2014**	Housing Section Head	31 January 2014	✗	**31 March 2014 in line with corporate meetings timetable**

Housing Redesign

Final report issued December 2013

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
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 **Position – February 2014** **This is now part of the sample checking. It has been incorporated into a new checklist and procedures revised since the Audit.**	Housing Supply Manager (for implementation) Housing Section Head (to add to Housing quarterly monitoring indicators)	31 January 2014	✓	
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 **Position – February 2014** **Taken to Herts Choice Homes (HCH) Operational Group in January 2014. Agreed that amendments need to be made to service level agreements and a training session held for registered providers. To be taken forward by HCH Co-ordinator who is based at Three Rivers District Council.**	Housing Supply Manager	31 March 2014 (Not yet due)	✗	

| 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 **Position – February 2014 In draft and due at Cabinet July 2014.** | 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 **Position – February 2014 Not yet due. Shortlisting process has been documented. Housing assessments work to be progressed in February 2014.** | Housing Supply Manager Housing Demand Manager | 31 March 20014 (Not yet due) | ✗ | |

Commercial Rents							
Final report issued January 2014							
Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	The Recovery team should be notified of all completed rent reviews, including those where no change in the rent applies.	Merits Attention	**Position – February 2014 Completed**	Estate Surveyor	31 March 2014 (Not yet due)	✓	
02	Procedure notes should be written for commercial rents activity (rent reviews, aged debt recovery and reconciliations. The procedures should be reviewed and updated	Merits Attention	**Position – February 2014 Not yet due**	Property Manager	31 March 2014 (Not yet due)	✗	

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
	periodically (e.g. annually) and a review log maintained.						
03	A regular, for example monthly, reconciliation of rental income should be undertaken between the financial management system and the property system, and any differences investigated and cleared.	Medium	**Position – February 2014 Completed**	Programme Manager Property Manager Estate Surveyor	31 March 2014 (Not yet due)	✓	

Veolia Contract
Final report issued February 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
01	(1) A risk workshop, involving staff from the client team and the contractor should be organised to identify the key risks and who is best placed to manage the risks. (2) Following the risk workshop, a joint risk register should be created and maintained over the duration of the contract.	Medium	**Position – February 2014 Not yet due** **Position – February 2014 Not yet due** **Position – February 2014 Not yet due**	Lesley Palumbo, Head of Corporate Strategy and Client Services	(1) = Mar 2014 (Not yet due) (2) = May 2014 (Not yet due)	✗ ✗ ✗	

	(3) Joint review of risks should be an integral part of the performance management arrangements and a standing item at operational and strategic board meetings.				(3) = Jun 2014 (Not yet due)		
02	To provide early warning of Veolia and other key contractors used by the council entering into financial difficulty, it would be beneficial for the council to introduce corporate arrangements to monitor on-going financial viability of the main service providers and suppliers, i.e. using a credit agency, so that there is a permanent watch on these companies and the council is informed of any deterioration in their financial position.	Merits Attention	**Position – February 2014 Not yet due**	Lesley Palumbo, Head of Corporate Strategy and Client Services	On-going (to be reviewed 12 months after issue of final report)	✖	

Veolia Contract

Final report issued February 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✘ or ✔	Revised Deadline
03	(1) The client team should formalise the system for inspecting work delivered by Veolia; there should be clarity around the number of inspections to be carried out by the client team each month and the methodology for selecting locations to be inspected. (2) The client team would like to record their inspections directly on to MIMS using electronic devices rather than maintaining the current paper based system; this is something we would endorse and encourage management to address in a timely manner. (3) Inspections carried out with Veolia should be diarised in advance; the client team should select the locations, informed by feedback from	Medium	**Position – February 2014** **Not yet due** **Position – February 2014** **Not yet due** **Position – February 2014** **Not yet due** **Position – February 2014** **Not yet due**	Jamie Sells, Environmental Services Client Manager (Waste and Recycling) and Paul Rabbitts, Environmental Services Client Manager (Parks and Streets)	(1) = June 2014 (Not yet due) (2) = Sept 2014 (Not yet due) (3) = Feb 2014 (Not yet due)	✘ ✘ ✘ ✘	

service users and perceived levels of risk. (4) The client team has identified that inspections by Veolia are not uploaded on to MIMS; we would endorse this as an area of concern and suggest management raises the matter formally with Veolia and monitors the situation to ensure there is a timely resolution.					(4) = Feb 2014 (Not yet due)		

Veolia Contract

Final report issued February 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibili ty	Deadline	Resolve d ✘ or ✓	Revised Deadline
04	The client team has identified the need for further training on MIMS and this is something we endorse and encourage as a priority.	Medium	**Position – February 2014 Implemented**	N/A	Implemented	✓	
05	The client team has identified the need to streamline the performance indicators associated with the contract and this is something we would endorse and encourage management to address as a	Merits Attention	**Position – February 2014 Not yet due**	Jamie Sells, Environment al Services Client Manager (Waste and Recycling) /	On-going (to be reviewed 12 months after issue of final report)	✘	

	priority.			Paul Rabbitts, Environmental Services Client Manager (Parks and Streets)			
06	(1) A training needs analysis should be conducted to identify the knowledge and skills gaps within the client team, both at team and individual levels. (2) External training courses delivered by professional bodies (such as the Chartered Institute of Purchasing and Supply), around developing contract management competences should be investigated as well as professional membership. *Note: Hertfordshire County Council is developing contract management training, which it intends to make available to other local authorities in 2014/2015; this may be a cost effective solution to plugging skills gaps within the client*	Medium	**Position – February 2014** **Not yet due**	Lesley Palumbo, Head of Corporate Strategy and Client Services	July 2014 (for staff appraisals) and on-going for team training and development	✖	

	team.						

Veolia Contract
Final report issued February 2014

Ref No.	Recommendation	Priority	Action to Date	Responsibility	Deadline	Resolved ✗ or ✓	Revised Deadline
07	We would encourage the client team to continue to approach contract managers at other local authorities to learn lessons from more established contracts.	Merits Attention	**Position – February 2014** **Not yet due**	Jamie Sells, Environmental Services Client Manager (Waste and Recycling) / Paul Rabbitts, Environmental Services Client Manager (Parks and Streets)	On-going (to be reviewed 12 months after issue of final report)	✗	