

FOLLOW-UP OF AUDIT RECOMMENDATIONS

ESSENTIAL REFERENCE PAPER C

<u>AREA</u>	<u>RECOMMENDATIONS</u>	<u>RISK</u>	<u>OFFICER & DATE</u>	<u>CURRENT POSITION</u>	<u>BASED ON</u>	<u>CURRENT OPINION</u>
DIRECTOR OF CUST. & COMM. SERVICES						
Sustainability Review (IA Report 20/5/10)	It is recommended that the Sustainable Community Strategy for East Herts 2009 to 2024 is signed and dated as reviewed on a three yearly basis.	Low	Mekhola Ray (Dec 2012)	To be implemented.	Evidence	Continue to monitor
	It is recommended that the Climate Change Strategy and Action Plan are reviewed on a regular basis.	Low	David Thorogood (Dec 2010)	Implemented. Reported to Scrutiny Committee in March 2011.	Evidence	Resolved
	It is recommended that the Environmental Policy Statement for East Herts is given a title page providing details of the responsible officer, version number and date of review and reviewing officer.	Low	David Thorogood (April 2012)	The Environmental Policy Statement will be included as part of the next annual review of the Climate Change Action Plan.	Evidence	Continue to monitor
	It is recommended that due consideration is given to embedding sustainability in the procedure notes relevant to officers whose work has links with sustainability.	Low	David Thorogood (Sept 2011)	To be implemented. Work is being carried out with HR so that mainstreaming sustainability is incorporated into Job Descriptions.	Evidence	Continue to monitor
	It is recommended that corporate posters are devised reminding staff how to reduce energy and office items that can be recycled.	Low	David Thorogood (Oct 2011)	To be implemented. To carry out once all work at Wallfields has been completed and staff are in their new office space.	Evidence	Continue to monitor
	It is further recommended that these energy efficiency and recycling posters are placed in areas that are accessible to all staff.	Med	David Thorogood (Oct 2011)	To be implemented. To carry out once all work at Wallfields has been completed and staff are in their new office space.	Evidence	Continue to monitor

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Grounds Maintenance Review (IA Report 09/02/11)	It is recommended that the Grounds Maintenance Procedure notes are signed and dated as reviewed on an annual basis.	Low	Rowan Perrin (December 2011)	To be carried out with Performance Indicators. Yet to be tested.	Assurance	Continue to monitor
	It is recommended that the Council seek to formalise with John O'Conner (Grounds Maintenance) Ltd the Business Continuity Plan for Grounds Maintenance Service provision after failure or major incident.	Med	Ian Sharratt (July 2011)	John O'Conner are currently reviewing the Business Continuity Plan	Assurance	Continue to monitor
	It is also recommended that John O'Conner provide the Play Inspectors with PDA IT support / training.	Low	Ian Sharratt (December 2011)	Training was delayed due to high number of applicants. Date yet to be confirmed.	Assurance	Continue to monitor
	It is recommended that the Non Conformance spreadsheet and Validated Complaints spreadsheets are electronically initialled and dated by the preparing and reviewing officers.	Low	Rowan Perrin (Immediate)	Implemented.	Evidence	Resolved
	It is recommended that the Work Programme spreadsheet is electronically initialled by the Grounds Maintenance Services Assistant as prepared and electronically initialled as reviewed by a senior officer.	Low	Rowan Perrin (Immediate)	Implemented.	Evidence	Resolved
Car Parking Review (IA Report 09/03/11)	It is recommended that the Decriminalised Parking Enforcement Guidelines are signed and dated as reviewed.	Low	Andrew Pulham 2012/13	This will be actioned at next review.	Audit Review	Continue to monitor
	It is recommended that the Parking Services Procedures notes are signed and dated as reviewed.	Low	Andrew Pulham	To be actioned at next review.	Audit Review	Continue to monitor

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	It is recommended that a monthly stock check of Smartcards at held by Charringtons House and Wallfields Customer Service Centres is carried out and signed and dated.	Med	Sue Richardson (immediate)	Actioned	Evidence	Resolved
	It is further recommended that the Service Development Officer carries out quarterly stock checks of Smartcards held by Hertford Town Council Information Centre.	Med	Adrian Howe (immediate)	To commence immediately. Yet to be evidenced.	Audit Review	Continue to monitor
Cashiers (IA Report 23/3/11)	It is recommended that a corporate drive is made to encourage online and telephone payments.	Med	CMT	Ongoing drives under the C3W and BPI reviews.	Evidence	Resolved
	As an interim measure it is recommended that a corporate receipt book is produced and used by all departments that take payments.	Low	Roy Crow	Actioned	Evidence	Resolved
	It is recommended that an electronic solution to authorising cancellations / reversals is considered as all cancellations and reversals must be authorised with a documented reason.	Low	Sue Richardson (Dec 2011)	Under consideration	Audit Review	Continue to monitor
	It is further recommended that consideration is given to electronically storing reversal listing reports and transaction listing reports.	Low	Sue Richardson (Dec 2011)	Under consideration	Audit Review	Continue to monitor
	It is recommended that post room staff are reminded that a double check of the Post Room Cash Book is required and that the Facilities Manager carries out monthly spot checks to ensure two separate officers are signing the book.	Low	Roy Crow (Immediate)	Actioned	Evidence	Resolved

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	It is further recommended that customer facing services take appropriate action to encourage the reduction of cash received via the post from customers.	Low	Neil Sloper (On-going)	Activity is in progress. Considered as part of the BPI review.	Audit Review	Continue to monitor
	It is recommended that HR email leavers de-brief forms to the IT Help Desk and that the Network and Systems Manager implements a procedure whereby a job is raised to remove leavers from all IT systems.	Low	HR/ David Frewin (April 2011)	Actioned	Evidence	Resolved
	It is recommended with the move to increased electronic working that the IT Operations Daily Tasks sheet is made electronic and signed and dated daily.	Med	David Frewin (Sept 2011)	To be actioned	Audit Review	Continue to monitor
	It is further recommended that a Workflow is developed for the processing and authorising of BACS payments. This should be implemented by the time the Causeway Offices are fully vacated.	Med	David Frewin (Sept 2011)	To be actioned	Audit Review	Continue to monitor
	A disaster recovery plan should be put in place for the Cashiers system, Icon as soon as possible and tested for effectiveness. In the interim, develop clear manual contingency arrangements should the Cashiers system fail for any length of time.	Med	Peter Searle (Dec 2011)	To be actioned	Audit Review	Continue to monitor
	It is recommended that consideration is given to storing safe keys away from safe locations.	Med	Graham Mully (March 2011)	This has been considered and is not practical.	Evidence	Resolved

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	It is recommended that the Cashiering Procedure Notes are completed and full information on delivery and ordering of a cash delivery is included.	Low	Sue Richardson (April 2011)	Actioned	Evidence	Resolved
	It is recommended that the Cashiering Procedures Manual includes guidance on actions to rectify discrepancies entered into automated payment machines.	Low	Sue Richardson (April 2011)	Actioned	Evidence	Resolved
Carbon Reduction (IA Report 23/3/11)	The Climate Change Action Plan should include timescales for key actions and the name of the lead officer for implementing each action, and these should be submitted to the Environment Scrutiny Committee for approval at the next review.	Low	David Thorogood (April 2012)	To be actioned	Audit Review	Continue to monitor
Recycling (IA Report 18/5/11)	Staff be reminded to submit claims for credits in a prompt manner.	Low	Trevor Watkins (Immediate)	Actioned	Evidence	Resolved
	The dispute regarding credits for collection of cans from banks be resolved so that credits can be received.	Med	Trevor Watkins (On-going)	Discussions on-going	Audit Review	Continue to monitor
Hertford Theatre (IA Report 19/5/11)	It is recommended that where credit vouchers/gift vouchers are processed via the box office system, a process needs to be introduced to ensure that a copy of the relevant credit voucher is attached for reconciliation as part of the daily cash up routine.	Med	Eoin Baird (Immediate)	To be actioned. Yet to be tested	Audit Review	Continue to monitor

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	<p>It is recommended that the General Manager should perform a regular reconciliation of the Tickets.com Internet sales report to the daily takings sheets to confirm the accuracy of the Tickets.com income reports.</p>	Med	Eoin Baird (Immediate)	Manager will endeavour to monitor.	Audit Review	Continue to monitor
	<p>It is recommended that action is taken to ensure that all debtor accounts are paid in full in a timely manner and always in advance of the booked event date.</p>	Low	Eoin Baird (Immediate)	Debtors list will continue to be monitored	Audit Review	Continue to monitor
	<p>It is recommended that the transfer of data between Databox and General Ledger should be automatic with no manual manipulation of data. There should be no manual intervention whatsoever. Procurement of the appropriate IT software should be undertaken urgently.</p> <p>In the meantime it is recommended that the daily takings reports are reconciled to the postings extract report to ensure that any extract errors (i.e. duplicate postings) are identified prior to the data being uploaded to the general ledger.</p> <p>Whilst there is manual intervention the General Manager should not be involved in the processing of banking.</p>	High	Eoin Baird (asap)	To be taken forward as a high priority	Audit Review	Continue to monitor
DIRECTOR OF INTERNAL SERVICES						

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ICT Remote Access Review 8/6/09	Intrusion detection Software (IDS) and an incidence response policy should be implemented to detect unauthorised activity on the remote system.	Med	David Frewin (Revised to May 2011)	New Firewall with increased IDS procured but awaiting final parts. Subject to supplier aiming to be installed in May 2011. Yet to be tested.	Evidence	Continue to monitor
	A network security and remote access policy should be established.	Med	David Frewin (revised to May 2011)	As above and Lightweight Directory Access Protocol to be used if available. Yet to be tested.	Evidence	Continue to monitor
	Netscreen password policy settings should be reviewed. Netscreen to be accessed through the Active Directory if possible.	Med	David Frewin revised to May 2011)	As above this work will be completed in May 2011 with administration password changes. Yet to be tested.	Assurance by David Frewin	Continue to monitor
Follow-up of Various ICT Reviews (IA Report 22/6/09)	Options for ICT business continuity are reviewed before expensive solutions are commissioned. These should take into account the possible mid-term accommodation changes under consideration.	High	Peter Searle/David Frewin/Peter Bowler (revised to December 2011)	Business Continuity contract extended to reflect service needs agreed by Business Continuity Group. Some progress has been made in producing a draft ICT Business Continuity Plan. Work on fire suppression on-going. 2011/12 Service Plan reflects need for ICT Business Continuity Plan to be approved by CMT by end September 2011 and then tested by December 2011 and annually thereafter.	Evidence	Continue to monitor
	As part of the ICT Strategy development, a review of the main application systems is undertaken, as this could only be done at a superficial level in this review.	Med	BPI Leaders in line with C3W	In Business Support Services Business Plan 2010/11. Main application systems are under review as part of C3W BPI exercises.	Evidence	Continue to monitor
	A detailed timetable be prepared and issued to ensure that the Council's Business Continuity and Disaster Recovery Plan is completed and tested.	High	Peter Searle (revised to December 2011)	2011/12 Service Plan reflects need for ICT Business Continuity Plan to be approved by CMT by end September and then tested by December 2011 and annually thereafter.	Evidence	Continue to monitor

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	Consideration be given to introducing visual reminders on the importance of prompt reporting of actual or suspected breaches of IT security.	Med	David Frewin (June 2011)	Login screens currently under review. Yet to be evidenced	Assurance by David Frewin	Continue to monitor
	Ensure that all recommendations from the most recent penetration testing report are implemented. Should the report be out of date, consideration be given to retesting.	High	David Frewin (June 2011)	External penetration test completed. Internal review undertaken but yet to be evidenced.	Assurance by David Frewin	Continue to monitor
	The Information Technology Team should approve and oversee the implementation of the Council's Information Systems Strategy.	High	Peter Searle (March 2012)	The ICT Strategy will be reviewed by March 2012 to encompass the post C3W project environment and shared service arrangements for ICT.	Evidence/ Assurance by Peter Searle	Continue to monitor
	Management should revise the division of duties within IT, with a view to ensuring that all incompatible duties be separated and that adequate independent review of key controls and procedures is performed.	High	Alan Madin	Staff structure/duties reviewed and reported for consideration by Director of Internal Services.	Evidence	Continue to monitor
	IT management should consider the implementation of fire suppression systems in the Council's two computer rooms.	High	David Frewin (June 2011)	Assessment of need/costs of fire suppression system under consideration.	Assurance from David Frewin	Continue to monitor
Fraud & Corruption Overview (IA Report 9/4/10)	The Council should set a series of counter fraud objectives and monitor performance against these to the Audit Committee to effectively communicate how the Council increases fraud awareness and reduces actual frauds committed against the Council, e.g. reporting progress in the National Fraud Initiative.	Med	Chris Gibson	This area is under review. Responsibility for Internal Audit transferred to Shared Internal Audit Service from 1 June 2011.	Evidence	Continue to monitor

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Asset Management (IA Report 21/9/10)	It is recommended that the Accountancy Asset Management Procedure Notes are included within the review of electronic working and that they are updated to reflect all areas of work within the Asset Management system including acquisition, recording and disposal of assets.	Low	Mandy Barton (June 2011)	The Asset Management Procedure Notes are under review.	Evidence	Continue to monitor
	It is further recommended that Asset Management procedure notes are reviewed and updated for the Estates Surveyors.	Low	Martin Shrosbree July 2011)	There has been a delay in updating procedure notes due to the Wallfields refurbishments. The procedure notes to be updated once the BPI review has been completed and will incorporate recommendations from this review.	Evidence	Continue to monitor
	It is recommended that a project is undertaken to merge the two versions of the Asset Register held by Accountancy and the Asset and Estate Manager and that the project considers references to the Asset Management layer on GIS. Property Terrier.	Med	Martin Shrosbree/ Paul Mitchell (March 2012)	This project will be addressed after staff move to Wallfields.	Evidence	Continue to monitor
	It is recommended that a Land Inspection Policy and Programme of site inspections is devised and consideration is given to the frequency needed at visiting each site. It is further recommended that each site visit is documented and includes the name of the inspecting officer and the date of inspection.	Med	Graham Mully (Ongoing)	To be presented to the Operational Risk Management Group.	Evidence	Continue to monitor
	It is recommended that the land and buildings asset valuation working papers are signed and dated by the Estate Surveyor carrying out the valuation.	Low	Anna Osbourne (July 2011)	Arrangements are in place. However there will be no sign off until the final certificate is issued with the year end close down.	Evidence	Continue to monitor

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	<p>It is recommended that an annual reconciliation between the Inventory Lists and Asset Register is carried out at year end.</p> <p>It is further recommended that</p> <ul style="list-style-type: none"> • A new tenancy for Northolt UFC is set up at a nominal rent to avoid the cost of invoicing and that non commercial properties are reviewed by Members to consider the continued use of commercial properties. • A review of the lease for rent review for Vale House Stabilisation Services is undertaken. 	<p>Med</p> <p>Low</p> <p>Low</p>	<p>Graham Mully (May 2011)</p> <p>Anna Osborne (Sep 2011)</p> <p>Martin Shrosbree (March 2011)</p>	<p>Annual declarations received from departments.</p> <p>This has not been prioritised due to workloads. A tenancy for Bishops Stortford Community Football Club (change of name) will be set up for an appropriate period.</p> <p>The ability of Vale House Stabilisation Services to take on a new lease is dependent on funding from HCC. There is no set timescale for this but is on action plan.</p>	<p>Evidence</p> <p>Evidence</p> <p>Evidence</p>	<p>Resolved</p> <p>Continue to monitor</p> <p>Resolved.</p>
<p>Payroll Review (IA Report 18/01/11)</p>	<p>It is recommended that the need for a HelpDesk User on Delphi is reviewed and deleted if deemed to be not required.</p> <p>It is recommended that half way though the Financial Year Payroll Manager signs and dates as reviewed the Tax Deducted P.A.Y.E to the Tax Paid P.A.Y.E.</p> <p>It is recommended that with the move to increased electronic working that an electronic control sheet is signed dated by the transfer authoriser. It is further recommended that a Workflow is developed for the processing and authorising of BACS payments. This should aim to be implemented by the time the Causeway is fully vacated.</p>	<p>Low</p> <p>Low</p> <p>Med</p>	<p>Gill Coleman/ David Frewin (Immediate)</p> <p>Gill Coleman (Sept 2011)</p> <p>David Frewin (Sept 2011)</p>	<p>Currently under review.</p> <p>To commence as agreed.</p> <p>To be considered after the server room moves from Bishop's Stortford to Hertford.</p>	<p>Evidence</p> <p>Audit Review</p> <p>Audit Review</p>	<p>Continue to monitor</p> <p>Continue to monitor</p> <p>Continue to monitor</p>

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	A disaster recovery plan should be put in place for the Payroll/HR system, Delphi-Millennium as soon as possible and tested for effectiveness. In the interim, develop clear manual contingency arrangements should the Payroll/HR system fail for any length of time.	High	David Frewin (Sept 2011)	To be considered after the server room moves from Bishop's Stortford to Hertford.	Audit Review	Continue to monitor
Treasury Management Review (IA Report 28/2/11)	Treasury Management Practices should be revised in line with the revised CIPFA guidelines	Low	Paul Mitchell (March 2011)	Treasury Management Practices guidelines revision completed 5/04/2011.	Evidence	Resolved
Main Accounting (IA Report 23/3/11)	The contingency plan to be used in the event of IT failure on the Radius Powersolve system should be tested.	Med	David Frewin (August 2011)	Timescale agreed.	Audit Review	Continue to monitor
Sundry Debtors (IA Report 23/3/11)	It is recommended that a review of all users that have update rights on the Radius Debtors module is undertaken.	Low	Lorraine Medley (May 2011)	Actioned	Evidence	Resolved
	It is recommended that the frequency of reporting Sundry debts to CMT is reviewed and that this should be at least an annual exercise.	Low	Su Tarran (Immediate)	To be actioned. There has been a delay in writing the report due to shared services workload.	Evidence	Continue to monitor
	It is recommended that sundry debtor records are retained for six years plus the current year and that where appropriate electronic records and a workflow are implemented.	Low	Lorraine Medley/IT (Immediate)	Retention periods implemented. Electronic working identified as part of the C3W.	Evidence	Resolved
Advanced Payments (IA Report 13/4/11)	No recommendations	N/A	N/A	N/A	N/A	N/A

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Council Tax & NNDR (IA Report 3/5/11)	No recommendations	N/A	N/A	N/A	N/A	N/A
Creditors (IA Report 13/5/11)	It is recommended that all information held on the Intranet in respect of Procurement should be reviewed to ensure that it is current. Consideration should be given to production of a revised Procurement Toolkit. This will need to pick up the necessity for a consistent corporate approach towards evaluating tenders.	Med	Tracey Sargent (July 2011)	Procurement information on the Intranet and Procurement Regulations under review.	Audit Review	Continue to monitor
	It is recommended that the Procurement Officer reminds all Council departments of the need to inform the Procurement Team when going out to tender and entering into a contract and that a Central Contracts Register is maintained.	Med	Tracey Sargent (June 2011)	Reminder to be issued	Audit Review	Continue to monitor
Benefits (IA Report 16/5/11)	It is recommended that HR provide IT with details of all leavers to ensure that access is removed from the Academy system where applicable.	Low	Lucy Birch (May 2011)	Actioned	Audit Review	Resolved
IT Procurement (IA Report 26/5/11)	The IT asset register should be reviewed and updated to ensure that all IT assets can be traced.	High	David Frewin (On-going)	This exercise has commenced.	Audit Review	Continue to monitor
Cheque Accounting (IA Report 26/5/11)	No recommendations	N/A	N/A	N/A	N/A	N/A

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Health & Safety (IA Report 8/6/11)	It is recommended that the Risk Assurance Officer reminds all Heads of Service and Directors of the importance of completing Health and Safety Risk Assessments.	Med	Graham Mully	Reminder issued.	Evidence	Resolved
	It is further recommended that each Head of Service is required to complete a Health and Safety Risk assessment by July 2011.	High	CMT (July 2011)	All Heads of Service reminded of requirement.	Evidence	Continue to monitor
DIRECTOR OF NEIGHBOURHOOD SERVICES						
Emergency Planning (IA Report 28/05/10)	It is recommended that a review of information stored on the Emergency Planning Access database is carried out.	Low	Brian Simmonds (December 2011)	Yet to be implemented. This is being worked towards and aimed for completion before end of the year.	Evidence	Continue to monitor
	It is recommended that a formal agreement is signed and dated by EHDC and HCC outlining the support and costing of the support provision for Emergency Planning.	Med	Brian Simmonds (revised to December 2011)	Meetings have taken place with HCC who are responsible for redrafting the document; however there is a delay from another Council.	Evidence	Continue to monitor
Improvement Grants (IA Report 1/9/10)	It is recommended that the Private Sector Housing Assistance Policy is signed and dated at the time of each review.	Low	Sheila Winterburn (July 2011)	Delay due to staff sickness. Due to be implemented July 2011.	Evidence	Continue to monitor

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Licences (IA Report 8/10/10)	It is recommended that:					
	<ul style="list-style-type: none"> • Procedure notes for the processing, invoicing, banking and renewal of Environmental Health Licences are written in consultation with Environmental Health Officers, and signed and dated as reviewed on a regular basis. • The instructions and procedures for Premises Licensing, Personal Alcohol Licensing and Legacy Licensing are formalised and signed and dated as reviewed on a regular basis. It is further recommended that the instructions and procedures include examples of the appropriate time to invoice for licence renewals. 	Med	Paul Thomas (December 2011)	Ongoing. Procedure notes to be updated in line with BPI review.	Evidence	Continue to monitor
		Low	Paul Newman/ Brian Simmonds (March 2011)	Actioned	Evidence	Resolved
	It is recommended that the Gaming Statement is signed and dated as reviewed on a three yearly basis.	Low	Brian Simmonds (March 2011)	Actioned	Evidence	Resolved
	It is recommended that as part of the move to providing electronic licence applications that a workflow is implemented to ensure that applications or Environmental Licences cannot be submitted without all required supporting documentation.	Med	IT/ Paul Thomas (December 2011)	Work is on-going. Awaiting confirmation on whether an update to M3 system.	Evidence	Continue to monitor
It is recommended that on a quarterly basis a spot check is carried out of new licence applications fees to ensure that payments have been recorded in Radius.	Med	Paul Newman (December 2011)	Good progress made. Awaiting training from Accountancy.	Evidence	Continue to monitor	

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Homele'ness, Allocations & Nominations (IA Report 15/10/10)	It is recommended that the Housing Register and Allocations Policy sets out the period of the policy and is signed and dated as reviewed at least annually unless there is a material change to legislation or best practice that makes the document unsound or earlier as maybe determined by the Council in consultation with the partners.	Low	Claire Bennett (June 2011)	Action agreed	Audit Review	Continue to monitor
	It is recommended that as upgrades to the Housing Allocations Software occur, drop down menus are developed for the allocation of manual points.	Med	Janet Boyd (September 2011)	Action agreed. Implementation timetable has slipped due to delay in tendering process.	Evidence	Continue to monitor
	It is further recommended that before any additional support is provided for application 00217550 that all relevant supporting documentation is sought from the applicant.	Low	Elizabeth Foy (as required)	Actioned	Evidence	Resolved
	It is recommended that a programme timetable is implemented for the migration of data from Saffron to Locator.	Low	IT & Housing Options (December 2011)	Discussions on-going. There has been a delay due to the in-house extraction of data.	Evidence	Continue to monitor
Development Control (IA Report 11/03/11)	No recommendations	N/A	N/A	N/A	N/A	N/A
Commuted Sums (IA Report 11/03/11)	The respective roles and responsibilities of the Development Control, Legal and Finance sections be clarified and documented.	Med	Kevin Steptoe (September 2011)	This remains to be documented	Evidence	Continue to monitor

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Building Control (IA Report 15/4/11)	It is recommended that staff be reminded to raise debtor accounts within five working days.	Low	Kevin Steptoe (April 2011)	Actioned	Evidence	Resolved
	It is recommended that quality assurance processes be established to ensure that independently determined charges are set to fully cover costs.	Med	Kevin Steptoe (June 2011)	Remains to be actioned as part of the BSi quality assurance process	Evidence	Continue to monitor
Business Continuity (IA Report 7/6/11)	It is recommended that Heads of Service complete a business impact reviews to reflect the changing work environment at Wallfields.	Med	Heads of Service (Sept 2011)	On-going exercise	Audit Review	Continue to monitor
	It is recommended that the Business Continuity Plan is reviewed annually. It is further recommended that the Business Continuity Plan is communicated to staff and made available on the intranet.	High	Simon Drinkwater (Sept 2011)	Zurich Insurance are conducting a scoping workshop to take account of C3W implications.	Audit Review	Continue to monitor
	It is recommended that the Business Continuity Corporate Group meet on a regular basis until the Business Continuity Plan is approved, and thereafter on a six monthly basis to review the plan.	High	Simon Drinkwater (Sept 2011)	The outcomes from the Zurich workshop will act as a trigger for this group.	Audit Review	Continue to monitor
	It is recommended that the Business Continuity Plan includes contractor responsibility.	Med	Simon Drinkwater (Dec 2011)	Contractor responsibility will be considered under the revised Plan.	Audit Review	Continue to monitor
	As per the 2011-12 Business Support ICT Service Plan it is recommended that the Disaster Recovery Plan is finalised and	High	Peter Searle (Dec 2011)	ICT Service Plan requires an ICT Business Continuity Plan to be in place by September 2011 and to be tested before January 2012.	Audit Review	Continue to monitor

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	<p>approved and includes a section on the ability to recovery data and section on IT back-up. It is further recommended that the Disaster Recovery Plan is tested after it has been finalised.</p> <p>It is recommended that the Emergency Plan in updated to remove the names of Philip Hamberger and Tracy Strange, who are no longer Council employees.</p>	Low	Brian Simmonds (Immediate)	Actioned	Evidence	Resolved
VARIOUS						
C3W Programme (EA Report) March 2010)	<p>Signed minutes of all meetings for all property negotiations are produced and retained, in line with the Council's current constitution.</p> <p>The recommended enhancements set out at section 2.4 to the programme risk register / risk management approach are introduced.</p> <p>When undertaking options appraisals, the Council should maintain a formal record of long list options, with supporting evidence confirming why they options have been discounted prior to a more detailed evaluation of short listed options.</p>	<p>Med</p> <p>Med</p> <p>Med</p>	<p>Alan Madin</p> <p>C3W Group/ Corporate Risk Management Group</p> <p>CMT</p>	<p>Implemented. Senior Management Group has been reminded to comply with this requirement of the Constitution. There will be no further negotiations.</p> <p>Internal audit will include a review of compliance in their future work programme.</p> <p>Actioned. Risks have been transferred to the Corporate Risk Register.</p> <p>Actioned. CMT have been trained on the Green Book. The control lies with approval from CMT.</p>	<p>Evidence</p> <p>Evidence</p> <p>Evidence</p> <p>Evidence</p>	<p>Resolved</p> <p>Resolved</p> <p>Resolved</p> <p>Resolved</p>

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	A full internal business case should be presented to Members when undertaking future major capital transactions, which should include the estimated financial impact in terms of economic benefit, affordability, accounting treatment, and commercial implications, as well as the proposed scope of the transaction, and the proposed approach for managing the transaction.	Med	CMT	Actioned. The Project Initiation Document supports Green Book process. This goes through Management and Member approval.	Evidence	Resolved
			Martin Shrosbree (March 2011)	Paragraph 3.3 of the Asset Management Strategy outlines the minimal value of £500,000.	Evidence	Resolved
	All reports provided by external advisors associated with a transaction of this nature should be issued in final copy.	Med	CMT	Actioned. By matter of course external advisors are provided with final copies.	Evidence	Resolved
	The Council should agree how to adopt the HM Treasury Green Book approach when undertaking financial modelling of future capital projects on a case by case basis. The consideration should include: <ul style="list-style-type: none"> · when presenting financial analysis to Members, and other key decision makers, in addition to the modelling of a transaction the Council should ensure that all material associated costs are included in the financial analysis, including best estimates where detailed figures are not available. · when undertaking a transaction, consideration should be given to the tax and accounting treatment at the earliest opportunity and the financial modelling should reflect these considerations where they could impact options appraisal. · when updated results are presented to Members, they should be presented clearly 	High	Alan Madin	Implemented. All Capital Projects are considered in line with the Green Book. All are supported with a Project Initiation Document and presented to CMT for Approval. This has been demonstrated in the works at Bircherley Green Car Park.	Evidence	Resolved

<u>AREA</u>	<u>RECOMMENDATIONS</u>	<u>RISK</u>	<u>OFFICER & DATE</u>	<u>CURRENT POSITION</u>	<u>BASED ON</u>	<u>CURRENT OPINION</u>
	<p>and allow Members to understand the underlying assumptions and cost changes since previous reports.</p> <ul style="list-style-type: none"> · when undertaking financial analysis, early consideration should be given to the level of sensitivity and scenario analysis to be performed on key factors, including: capital costs, operating costs, financing rates and income projections. The results of the analysis should be clearly presented to members alongside the financial implications. Where HM Treasury Green Book is not applied the Council should document the reasons for this decision. 					
	<p>When undertaking an options appraisal the Council should set clear scoring criteria which gives all scenarios considered the chance to be the preferred option. This should be done in advance of developing the options for use in identifying the best solution.</p>	Med	CMT Martin Shrobbree (revised to March 2012)	<p>Agreed in proportion and subject to feasibility in particular cases. Will be able to implement as part of the Bircherley Green project. The 2008-12 Asset Management Strategy will be reviewed in 2012. It will include a statement on broad criteria and scoring to be applied. These to be refined for particular projects.</p>	Evidence	Continue to monitor
	<p>The Council should consider identifying, in advance of major property transactions, the requirements for gateway reviews to ensure an independent 'sense check' at key decision points.</p>	High	Martin Shrobbree (revised to March 2012)	<p>The Asset Management Strategy to include a statement on expected gateway review points.</p>	Evidence	Continue to monitor