FOLLOW-UP OF AUDIT RECOMMENDATIONS

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
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 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

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
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)	Implemented	Assurance	Resolved
	It is recommended that the Council seeks 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 recommended that John O'Conner provide the Play Inspectors with PDA IT support / training.	Low	Ian Sharratt (December 2011)	Implemented	Assurance	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
	It is recommended that the Service Development Officer carries out quarterly stock checks of Smartcards held by Hertford Town Council Information Centre.	Med	John Cole	Implemented	Evidence	Resolved
Cashiers (IA Report 23/3/11)	It is recommended that an electronic solution to authorising cancellations / reversals is considered as all	Low	Sue Richardson (Dec 2011)	Under consideration	Audit Review	Continue to monitor

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
	cancellations and reversals must be authorised with a documented reason.					
	It is 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 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 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)	Implemented	Assurance	Resolved
	It is 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 (March 2012)	ICON is covered by ICM Disaster Recovery contract which would implement recovery; time frame for recovery would be dependent on the nature of the incident. Specific testing of ICM disaster recovery arrangements are planned to take place before 31st March 2012.	Assurance	Continue to monitor

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
				Business continuity resilience has been enhanced by ICON being maintained in a virtualised environment where possible and migrated onto VMware in June 2011 and is therefore part of the wider VMware business continuity arrangements which are more resilient and being hosted on new servers. Cashiers is a critical system that features in the ICT Business Continuity Plan currently being drafted. In accordance with the ICT 2011/12 Service Plan the Business Continuity Plan is scheduled for completion in September 2011 and desk top testing by end December 2011.		
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)	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	Med	Eoin Baird -Immediate	Implemented	Assurance by Eoin	Continue to monitor

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
	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.				Baird	
	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.	Med	Eoin Baird - Immediate	Implemented	Assurance by Eion Baird	Continue to monitor
	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.	Low	Eoin Baird- Immediate	Implemented	Assurance by Eoin Baird	Continue to monitor
	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. 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	High	Eoin Baird (asap)	The supplier Ticket.com has unlocked the system to allow the ICT Development Team to attempt automated data transfer within the new system parameters. Initial testing as at 11.8.11 has not permitted automatic transfer and checking of drivers by Ticket.com has not resolved the interface problems. Further Development work is required to restore or develop a new interface allowing automated data transfer.	Assurance from D.Short (ICT Project Analyst) 11.8.11	Continue to monitor

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
	general ledger. Whilst there is manual intervention the General Manager should not be involved in the processing of banking.					
Concessionary Travel (IA report 23/08/11	To consider implementing a formal agreement with Herts County Council for the payment contributions of subsidised bus routes.	Merits Attention	Valdis Belinis (April 2012)	Not implemented.	Assurance	Continue to monitor
	There is no up to date list of subsidised bus routes. The list in place is from the 2010/11 financial year and contained routes that are no longer in operation.	Merits Attention	Valdis Belinis (April 2012)	Implemented.	Evidence	Resolved
	There is no monitoring of expected and actual payments to Herts County Council, Sawbobus and Bishops Stortford Minibus Trust for Community Transport and Local Bus Services.	Medium	Valdis Belinis (April 2012)	Not implemented.	Evidence	Continue to monitor
Rural Business Development (IA report 25/08/11)	It is recommended that exceptions to incomplete files are included within procedure notes.	Merits Attention	Kari Hall (Sep 2011)	Not implemented.	Evidence	Continue to monitor
	It is recommended that the projected grants and actual grants claimed spreadsheet is signed and dated by the preparing officer and signed and dated as reviewed by a reviewing officer on a quarterly basis.	Medium	Kari Hall (Nov 2011)	Not implemented.	Evidence	Continue to monitor

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
Reputation Management (25/08/2011)	It is recommended that the Customer Services Manager reminds 3C's Champions to update customer service records with the actions taken on complaints within their service area. It is further recommended that where appropriate the Customer Services Manager updates Senior Management on complaints that are dealt with outside of 10 working days.	Medium	Sue Richardson (ongoing)	Not implemented.	Assurance	Continue to monitor
	It is recommended that Communication Plans are put in place for each service area.	Medium	Lois Prior (April 2012)	Not implemented	Evidence	Continue to monitor
	It is recommended that press releases and statements are signed and dated as approved either by an email trail or an officer signature on working papers.	Merits Attention	Lois Prior	Implemented	Evidence	Resolved
DIRECTOR OF INTERNAL SERVICES						

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
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 September2011) David Frewin (revised to October 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 September 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		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)	It is recommended that 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)	ICM Business Continuity contract extended to reflect service needs agreed by Business Continuity Groups. Draft business continuity plan has been prepared. Initial meeting with ICT Managers scheduled to take place 1/9/11 with a view to completing ICT Business Continuity Plan by end September 2011 in accordance with Service Plan. Findings of Research & development on fire suppression to be reported to the next Business Continuity Group Meeting.	Evidence	Continue to monitor

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
	It is recommended that 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. Peter Bowler to action (Dec 2011)	Review underway.	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 March 2012)	2011/12 Service Plan reflects need for ICT Business Continuity Plan to be approved by CMT by end September and then desk top tested by December 2011 and annually thereafter. Systems recovery testing to take place by 31 March 2012.	Evidence	Continue to monitor
	Consideration be given to introducing visual reminders on the importance of prompt reporting of actual or suspected breaches of IT security.	Med	David Frewin (October 2011)	To be actioned by end of October 2011 in line with completion of works associated with Government Connect Code of Connection	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 should be given to retesting.	High	David Frewin (October 2011)	External penetration test completed. Internal review undertaken but yet to be evidenced. Next penetration testing is scheduled for October 2011 and evidencing of testing to be enhanced in line with audit recommendations.	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. Given potential truncated	Evidence/ Assurance by Peter Searle	Continue to monitor

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				timeline for implementation of shared ICT service arrangements, a shared ICT Services Workshop on 26th July 2011 held a consensus view that the next ICT Strategy refresh should be a consolidated Shared Services Strategy containing provisions for unique/ specific authority issues. The view held was that an interim strategy would represent abortive work..		
	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 in January 2011. C3W work and shared services options analysis has impacted on the time line for further consideration & implementation	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)	Findings on the fire suppression will be reported to the next Business Continuity Group Meeting.	Evidence	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	Med	Chris Gibson	This area is under review. Responsibility for Internal Audit transferred to Shared Internal Audit Service from 1June 2011.	Evidence	Continue to monitor

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	against the Council, e.g. reporting progress in the National Fraud Initiative.					
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 and will be presented to the Operational Risk Management Group.	Evidence	Continue to monitor
	It is recommended that a Land Inspection Policy and Programme of	Med	Graham Mully (Ongoing)	Arrangements are in place. However, there will be no sign off	Evidence	Continue to monitor

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
	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.			until the final certificate is issued with the year end close down.		
	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 (Sep 2011)	Yet to be evidenced.	Evidence	Continue to monitor
	It is recommended that 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.	Low	Anna Osborne (Sep 2011)	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.	Evidence	Continue to monitor
Payroll Review (IA Report 18/01/11)	It is recommended that the need for a HelpDesk User on Delphi is reviewed and deleted if deemed to be not required.	Low	Gill Coleman/ David Frewin -Immediate	**Implemented**	Evidence	Resolved
	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.	Low	Gill Coleman (Sept 2011)	To commence as agreed.	Audit Review	Continue to monitor

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
	It is recommended that with the move to increased electronic working that an electronic control sheet is signed and 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.	Med	David Frewin (Sept 2011)	To be considered after the server room moves from Bishop's Stortford to Hertford.	Audit Review	Continue to monitor
	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 (March 2012)	Systems recovery testing to be undertaken by the end of 2011/12 financial year.	Audit Review	Continue to monitor
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 (March 2012)	Systems recovery testing to be undertaken by the end of 2011/12 financial year.	Audit Review	Continue to monitor
Sundry Debtors (IA Report 23/3/11)	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	Simon Chancellor. (December 2011)	To be actioned. This will become the responsibility of Financial Services from August.	Evidence	Continue to monitor
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	Med	Tracey Sargent (September 2011)	Procurement information on the Intranet and Procurement Regulations under review.	Audit Review	Continue to monitor

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	consistent corporate approach towards evaluating tenders. 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)	Implemented.	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 (December 2012)	The asset register is currently being updated following the C3W Office moves and a full inventory check will be undertaken in December 2011.	Assurance	Continue to monitor
Health & Safety (IA Report 8/6/11)	It is recommended that each Head of Service is required to complete a Health and Safety Risk assessment by July 2011.	High	CMT (July 2011)	Heads of service have been reminded; however these have not yet been submitted.	Evidence	Continue to monitor
Chairman & Member Allowances (IA Report 25/08/11)	It is recommended that the Constitution and Financial Regulations are placed within the corporate core on the intranet and on the Councillors, Committees and Council Information pages on the intranet.	Merits Attention	Jeff Hughes (August 2011)	Not implemented	Evidence	Continue to monitor
	It is recommended that Members are requested to submit their mileage claims on a regular basis.	Merits Attention	Jeff Hughes (August 2011)	Not implemented	Evidence	Continue to monitor
	It is recommended that the Payroll	Merits	Gill Coleman-	Implemented.	Evidence	Resolved

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
	Manager / Payroll Officer sign and date the Members' Allowances Scheme Claim Form confirming the claim forms have been checked prior to processing.	Attention	immediate			
	It is recommended that all payments made to the Chairman, Vice Chairman and Members are made through the payroll to ensure appropriate and accurate deductions are made.	Medium	Gill Coleman / Jeff Hughes (March 2012)	Not implemented	Evidence	Continue to monitor
Absenteeism Management (IA Report issued 05/09/11)	It is recommended that managers are reminded of the Absence Management policy and how to manage cases when trigger points are raised.	High	Emma Freeman (October 2011)	Not implemented	Evidence	Continue to monitor
	It is recommended that Heads of Service should ensure that monthly sickness statistics are reviewed and discussed with Managers to ensure that appropriate action is being taken to monitor long term and repeated staff sickness.	Medium	Emma Freeman (October 2011)	Not Implemented	Evidence	Continue to monitor
	It is recommended that the Absence Management Policy is signed and dated as reviewed and updated to include clear guidance to managers on holding Health Review meetings and the requirement to keep HR informed of all actions and progress.	Merits Attention	Emma Freeman (March 2012)	Not Implemented	Evidence	Continue to monitor

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
	It is recommended that after each review, staff are reminded of the Absence Management Policy.					
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 the 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 costs 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 (Dec 2011)	Delay due to staff sickness. Due to be approved by Executive in December 2011.	Evidence	Continue to monitor
Licences (IA Report 8/10/10)	It is recommended that 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.	Med	Paul Thomas (Dec 2011)	Ongoing. Procedure notes to be updated in line with BPI review.	Evidence	Continue to monitor
	It is recommended that as part of the move to providing electronic licence applications that a workflow is	Med	IT/ Paul Thomas (Dec 2011)	Currently being considered as part of the proposal for a new joint Environmental Health/Licensing	Evidence	Continue to monitor

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
	implemented to ensure that applications or Environmental Licences cannot be submitted without all required supporting documentation.			application.		
	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 (Dec 2011)	Good progress made. Awaiting training from Accountancy.	Evidence	Continue to monitor
Homelessness, 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)	Implemented	Audit Review	Resolved
	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 (Sept 2011)	Action agreed. An upgrade is being sought from the software supplier Locator in partnership with other system users.	Evidence	Continue to monitor
	It is recommended that a programme timetable is implemented for the migration of data from Saffron to Locator.	Low	IT & Housing Options (December 2011)	Extraction of data for migration will take place when Locator upgrade is installed.	Evidence	Continue to monitor

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
Commuted Sums (IA Report 11/03/11	It is recommended that 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
Building Control (IA Report 15/4/11)	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)	Implemented.	Evidence	Resolved
Business Continuity (IA Report 7/6/11)	It is recommended that Heads of Service complete a business impact review 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 is 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	Med	Simon	Contractor responsibility will be	Audit	Continue

AREA	RECOMMENDATIONS	RISK	OFFICER & DATE	CURRENT POSITION	BASED ON	CURRENT OPINION
	Continuity Plan includes contractor responsibility.		Drinkwater (Dec 2011)	considered under the revised Plan.	Review	to monitor
	As per the 2011-12 Business Support ICT Service Plan it is recommended that the Disaster Recovery Plan is finalised and approved and includes a section on the ability to recovery data and a section on IT back-up. It is further recommended that the Disaster Recovery Plan is tested after it has been finalised.	High	Peter Searle (March 2012)	ICT Service Plan requires an ICT Business Continuity Plan to be in place by end of September 2011 and desk top tested by end of December 2011. Application recovery testing to take place before end March 2012.	Audit Review	Continue to monitor
VARIOUS						
C3W Programme (EA Report) March 2010)	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.	Med	CMT

Martin Shrosbree (revised to March 2012) | 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. | Evidence | Continue to monitor |
| | 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. | High | Martin Shrosbree (revised to March 2012) | The Asset Management Strategy to include a statement on expected gateway review points. | Evidence | Continue to monitor |