

CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 4 2016/17

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
ICT Disaster Recovery and Business Continuity – 27 March 2017		
<p>The Business Application Supplier Strategy and the Staff Absence Strategy should be confirmed as current and the review date noted in the document.</p>	<p><i>ICT Services Manager:</i> These have now been reviewed and updated. PID: Completed.</p>	<p>Recommendation implemented. No further response required.</p>
<p>A strategy for continued operations in terms of alternative locations and/or equipment should be established.</p>	<p><i>CMT / Deputy Chief Executive (AJ):</i> Options for delivering “continued operations” to be developed and considered with the objective of agreeing a solution within the next six months. PID: September 2017.</p>	<p>We are exploring moving a number of frontline services; email; web and telephony to cloud-based solutions which will remove the property-based dependency.</p> <p>We are looking at ensuring our satellite offices can operate independently of the corporate network.</p> <p>We are looking at changing how the Wide Area Network (WAN) is configured. The current ‘star’ configuration requires a physical corporate hub (HQ) to exist. A modern ‘MPLS’ network would negate this and would facilitate routing to an alternative location.</p> <p>We can also extend our off-site presence at the Aston Disaster Recovery centre and the cost of this is covered by business interruption insurance.</p>

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ICT Change Management and Testing – 22 March 2017		
Management should update the 'ICT Services – Change Management Policy'.	<i>Applications Support Manager:</i> The ICT Services – Change Management Policy has been updated to reflect the current practices, including changes in the use of the new service desk system. PID: Completed.	Recommendation implemented. No further response required.

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ICT Change Management and Testing – 22 March 2017 (Continued)		
<p>Management should standardise and enforce the documentation of approval through the use of custom fields in the system.</p>	<p><i>Applications Support Manager:</i> While accepting the recommendation, Management does not believe that the Service Desk custom fields will provide an adequate method to enforce authorisation. Instead, Management will explore the Change Advisory Board functionality within the Service Desk system. PID: 30 September 2017.</p>	<p>ICT Management explored the Change Advisory Board functionality within the Service Desk system; it did not, however, meet the needs of this audit recommendation. Instead, the Service Desk system itself has been amended to provide the Application Support Team with an automated method to capture authorisation from the System Owner (and some information about the testing completed) before changes are made to a Business Application's LIVE Environment. The process originally seen by Audit was to send out a Software Acceptance Certificate that required signing off by the testers and System Owner. The document was pretty much a tick box exercise for all concerned.</p> <p>The new process requires the ICT Application Support Analyst to issue an email to the System Owner directly from the Service Desk system using a pre-defined template.</p> <p>The System Owner's response is emailed directly back to the ICT Helpdesk and automatically attached to the Change Request before the Analyst can take any further appropriate action. This new process has been live since 09.10.17 and is working effectively for all parties.</p>

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Business Applications: TOTAL Financial Management – 22 March 2017		
<p>Management should investigate options around updating the version of TOTAL and plan/schedule the required upgrade to the system.</p>	<p><i>Principal Accountant (Systems):</i> Resources have put aside to deal with the Scanning project on TOTAL. The project has had three different consultants from TOTALMOBILE, with the latest having to correct errors made by the first one. TOTALMOBILE's client managers are aware of this and the delay caused by the company's errors (up to nine months delay). They have agreed to continue to support our current version until we upgrade in early 2018. The upgrade is a project within the Finance Service Plan for 2017/18 PID: January 2018.</p>	<p>Upgraded 19th December 2017 to a version that Totalmobile will support for some time to come. The scanning project (separate to the Upgrade) is likely to conclude in the Spring. This will change the way WDC operates and potentially introduce efficiency savings.</p>
<p>Management should obtain and review the agreement to ensure that it is up-to-date, reflects current arrangements and meets Council requirements.</p>	<p><i>Principal Accountant (Systems):</i> Agreed. The System Owner has some documentation that was passed over by the Financial Services Manager. This will be raised at the next meeting with the TOTALMOBILE client manager. PID: July 2017.</p>	<p>Following a corporate instruction to lodge the contract in the deed store, the document could not be found. Detective work by Accountancy and Procurement found it and both sections are satisfied that it is up-to-date, reflects current arrangements and meets Council requirements.</p>

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The accounts should be reviewed and any generic accounts replaced with named individual accounts for those requiring access.	<p><i>Finance Admin Manager / Senior Finance Administration Officer:</i></p> <p>These user accounts have been de-activated for a long while now and were only used in the Train module by the IT trainer (post no longer exists). PID: Not applicable.</p>	No further response required.
Management should investigate methods of identifying and reviewing access levels of staff changing roles, such as via reporting from HR.	<p><i>Finance Admin Manager / Senior Finance Administration Officer:</i></p> <p>HR has asked ICT to provide the details of movers when they provide information on starters and leavers. PID: June 2017.</p>	Finance Admin Manager and Senior Finance Administration Officer are now provided with an automated email from IT as to when someone leaves WDC and additionally HR provide them also with details of Starters and Leavers on a month basis (via email).
Patching and Firmware Updates – 28 March 2017		
Management should update the 'ICT Patch Management Policy' and review at least annually to ensure it remains current and valid.	<p><i>ICT Services Manager:</i></p> <p>Accepted. As mentioned in the report, the policy was due for an update due to recent changes and this has been completed. No further action required. PID: Complete.</p>	Recommendation implemented. No further response required.

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Patching and Firmware Updates – 28 March 2017 (Continued)		
<p>The patches in question should be reviewed to ensure that any risk is being mitigated or addressed by the patching regime.</p>	<p><i>ICT Services Manager:</i></p> <p>Without enormous resource it is impossible to be 100% patch compliant at any given point in time. Microsoft alone release on average 50 security patches a month which need to be deployed to over 700 devices. This means there are 35,000 patch deployments to be monitored each month. A 5% failure could result in 1,750 patches requiring investigation, which is clearly impractical to undertake without a dedicated team. Furthermore, when we have investigated missing patches they have often been superseded by new patches which we have subsequently applied or the patch was not relevant. Therefore, as this audit indicates, the Council needs to rely on the fact that we have a robust mechanism in place for patching and accepts that there will be some failures. To support this ICT takes a more holistic approach which involves monitoring and identifying machines which are not being patched.</p> <p>This approach has been discussed with and accepted by Internal Audit.</p> <p>PID: Complete.</p>	<p>No further response required.</p>

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<p>Management should address or seek to mitigate risks posed by the remaining missing patches.</p>	<p><i>ICT Services Manager:</i> Many of the same issues above apply to this recommendation. However, given that this snapshot was taken 6 months ago, it is highly unlikely that many of the missing patches will remain valid. The practicalities of this position have been accepted by PSN in the past. However, ICT will naturally undertake whatever actions PSN recommend and require to remain PSN compliant. PID: Complete.</p>	<p>Recommendation implemented. No further response required.</p>
<p>Recruitment and Selection, Terms and Conditions – 8 March 2017</p>		
<p>Relevant policy documents should be reviewed to ensure that they are still accurate, with a review of electronic links being performed to ensure that they point to the correct documents.</p>	<p><i>HR Manager:</i> As part of the ongoing review of Policies these documents will now be prioritised as part of the HR Forward Plan. We are working with the new Social Media Officer to review the HR Intranet site and ensure that accessibility and search are robust for staff and managers. PID: End Sept 2017.</p>	<p>The Recruitment and Selection policy has been reviewed and is fully compliant with all links to further documents being fully operational and available via our WDC intranet.</p>

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<p>Recruiting managers should be instructed to provide evidence of the short-listing process and the interview- scoring to HR.</p>	<p><i>HR Manager:</i> To include as part of the HR support guidance. HR support team to follow up with Recruiting Manager pre- interview and post recruitment to ensure shortlisting information is filed. PID: End May 2017.</p>	<p>The HR and Payroll Support Team work with all recruiting managers and ensure recruitment shortlisting documents are completed and sent to HR after the interview process. The HR Support team have added 'shortlisting information required' to the pre-employment checklist to ensure managers are made aware that shortlisting documents are returned following the recruitment process.</p>
<p>Golf Course (Contract Management) – 31 March 2017</p>		
<p>A decision should be taken as to whether Mack should be recharged for the utilities used between April 2015 and the time that the quarterly billing commences. If so, an invoice should be raised as soon as possible to cover this period.</p>	<p><i>Deputy Chief Executive / Head of Cultural Services:</i> The readings required to raise the further invoice are available but, until the discussions with Mack are concluded regarding the previous utilities invoice, it is not considered appropriate to raise another invoice. Once this has been resolved the issue will be revisited. PID: September 2017.</p>	<p>The utility costs were settled as part of the negotiation for the deposit of soil from the excavations at the leisure centre to the golf course.</p>

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The existence of the signed parent guarantee document should be confirmed and, if this cannot be found, the guarantees should be sought from the contractor as soon as possible.	<i>Deputy Chief Executive / Head of Cultural Services:</i> Will be addressed as part of the discussions with Mack and a signed PCG will be filed with the Lease and Agreement as soon as complete. PID: September 2017.	The Parent Company Guarantee has been found to offer no security as the company providing the guarantee now has no assets. This issue will be addressed by CMT so that future contracts put mitigation in place to address the risk.
The contractor should be asked to provide evidence that they hold professional liability insurance as required by the contract. If it is found that this is not in place they should be advised to take it out.	<i>Sport and Leisure Contracts Manager:</i> Agreed. The contractor will be approached to provide evidence of the professional liability insurance. PID: May 2017.	The golf Course is now closed and the staff have been made redundant. Due to this development the professional liability Insurance is no longer relevant.
Mack should be advised to stop insuring the buildings and should be charged for the insurance provided by the Council as set out in the lease.	<i>Sports & Leisure Contract Manager:</i> Agreed. Mack will be advised to cancel their insurance and that they will be recharged in accordance with the lease. PID: Immediate.	This action has now been completed.
Catering Concessions – 31 March 2017		
The budget figure for the Jephson's Brasserie commission income should be reviewed to ensure that it reflects true income levels in future years.	<i>Arts Manager:</i> The budgetary figures for the contract will be reviewed and adjusted accordingly by the Arts Manager during the first quarter of 2017/18 as part of the established budget monitoring process. PID: 31 July 2017.	The budgetary figures for the contract are now reviewed and adjusted on a quarterly basis.

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Ad-hoc checks should be performed of the sales figures provided by Kudos.	<p><i>Arts Manager:</i></p> <p>Ad-hoc checks of the sales figures will be scheduled and put in place from 1st April 2017. It has already been agreed with Kudos as part of this audit that they will provide WDC with the information required.</p> <p>PID: 30 November 2017.</p>	Ad-hoc checks are performed on the sales figures provided by Kudos (on a quarterly basis).
Building Control – 31 January 2017		
The procedure manual should be updated to reflect current working processes.	<p><i>Head of Consortium & Business Support Manager:</i></p> <p>The Business Support Manager is to process the admin section of the manual. However, as they are currently short staffed in Admin team, the document will be disseminated amongst the group and collated.</p> <p>It was noted that the document was last visited in 2007.</p> <p>PID: March 2018.</p>	<p>The Admin section of the manual is completed.</p> <p>The procedure manual is in draft form and due to be completed by end of March 2018.</p>

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<p>Staff should be reminded of the correct procedures to undertake regarding the processing of applications, including the completion of relevant fields on Acolaid, the retention of relevant documentation and the need for timely processing.</p>	<p><i>Head of Consortium, Principal Building Consultants & Business Support Manager:</i></p> <ol style="list-style-type: none"> 1. April 2017. Retraining identified for all officers within the group on Acolaid and IDOX procedures. It is noted that new staff work remotely alongside ex Rugby and Daventry staff who are new to the system. PID: June 2017. 2. New applications to be processed within 48 hours and this will be monitored by the Principal Building Consultants. PID: January 2018. 	<ol style="list-style-type: none"> 1. All staff have now since been re-trained by the deadline. 2. Applications are now processed within 48 hrs completed Jan 2018. <p>Both actions are therefore completed.</p>
<p>Sample case monitoring should be undertaken by senior staff to ensure that applications are being appropriately processed, with the system being completed accurately.</p>	<p><i>Head of Consortium:</i></p> <p>Sample testing will be undertaken from all three areas across the group, namely Daventry, Rugby and Warwick areas. PID: Quarterly basis. April 2017.</p>	<p>This project has been implemented by Business Support Manager on a quarterly basis, since April 2017, so action now completed.</p>

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<p>The figures included in the budget for consultants' fees and the recharges to others should be reviewed and amended accordingly.</p>	<p><i>Head of Consortium & Business Support Manager:</i> The figure for consultants' fees has now been reduced. The recharges figure has also been amended, although this is still below the anticipated actual figure so this will be discussed with the Assistant Accountant. Staff are also advised of the financial status of the service at monthly meetings. PID: April 2017.</p>	<p>This item was actioned and completed April 2017.</p>
<p>An annual financial statement should be produced and published.</p>	<p><i>Head of Consortium, Business Support Manager & Assistant Accountant:</i> It is noted that other authorities are including the figures in their main accounting statements and this may be the approach we also take to be consistent. However, the issue of how and where the information is published will be discussed and agreed with the Board. PID: April 2017.</p>	<p>This item was actioned and completed April 2017.</p>
<p>The fee parameter table in Acolaid should be updated to include the correct figures.</p>	<p><i>Head of Consortium & Business Support Manager:</i> The fee table has now been reviewed and updated during a scheduled meeting with IDOX. PID: Completed.</p>	<p>Recommendation implemented. No further response required.</p>

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Conservation & Design – 13 February 2017		
The GIS Team should be made aware of all changes to conservation areas and listed buildings in a timely manner.	<p><i>Principal Conservation & Design Officer, GIS Manager, and Planning Administration Manager:</i></p> <p>Historic England has amended their procedures so that the Warwick District Council GIS Manager, and Planning Administration Manager, are automatically informed when alterations are made to the national list.</p> <p>PID: Completed.</p>	Recommendation implemented. No further response required.
Crime and Disorder – 9 January 2017		
Consideration should be given to including a section on crime and disorder implications in (all or selected) committee reports.	<p><i>Safer Communities Manager & Democratic Service Manager / Deputy Monitoring Officer:</i></p> <p>Discussions to be held with Committee Services to review.</p> <p>PID: Immediate.</p>	This was one of two recommendations not delivered in a 96-point improvement action plan following a Section 17 Review (Crime & Disorder Act-1998). The decision at the time was not to include it in committee reports. It would require extensive training for Councillors and officers and we do not have the resource to review these comments on every committee report.
The YouTube video, regarding the priorities of the SWCSP, should be updated to include recent statistics.	<p><i>Safer Communities Manager:</i></p> <p>The video cannot be updated. A comment is to be placed on the website to demonstrate the priorities remain the same.</p> <p>PID: Immediate.</p>	The website will be updated again following the meeting of the South Warwickshire Community Safety Partnership (SWCSP) on January 25 th when priorities for 2018/19 will be agreed.

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A link to the video should be included on the relevant pages of the WDC website.	<i>Safer Communities Manager:</i> The link to the video has been checked and updated. PID: Completed.	Recommendation implemented. No further response required.
The Community Safety page of the council's website should be updated to show the latest crime figures.	<i>Safer Communities Manager:</i> The figures have been updated on the website. PID: Completed.	Recommendation implemented. No further response required.
Lettings and Void Control – 31 March 2017		
Procedure notes should be drawn up for the housing allocation process.	<i>Housing Advice and Allocations Manager:</i> Procedure notes for the allocations process will be drafted. PID: July 2017	This is still outstanding. The allocations officers have started to compile a procedure document. I have asked the officers to complete this by 31 March 2018.
Staff should be reminded of the need to ensure that all documents are scanned to the correct network files.	<i>Housing Advice and Allocations Manager:</i> Email sent 30/3/2017. PID: Completed.	Recommendation implemented. No further response required.

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<p>Consideration should be given to limiting the number of offers that HomeChoice applicants can refuse following successful bids for properties.</p>	<p><i>Housing Advice and Allocations Manager:</i> This will be considered as part of the Homechoice 2016 Review. PID: November 2017</p>	<p>This action has been completed. The following recommendation went to Executive on 4 January 2018 and was accepted: <i>"It is therefore proposed that an applicant should be suspended from bidding for a period of three months if they have refused three offers of suitable accommodation that they have placed bids on in any six month period. The intention would be to provide some deterrent to frivolous bidding while recognising that, in a choice-based system, applicants should be able to bid for, but subsequently refuse, properties. A more serious sanction is not therefore considered appropriate."</i> It will be incorporated into the revised Homechoice policy document.</p>
<p>Open Spaces – 31 March 2017</p>		
<p>Review of the Green Space Strategy and refresh of the Green Space Action Plan should be scheduled on the Forward Plan at an appropriate juncture.</p>	<p><i>Head of Neighbourhood Services / Green Space Team Leader:</i> Agree with recommendation. PID: October 2017.</p>	<p>A report will be taken to March 2018 Executive, setting out progress against the Green Space Action Plan, and the open spaces to be included in the 2018/19 programme.</p>

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<p>The role of the Green Space Development Group should be clarified by documented terms of reference including a timeframe for report back to Executive and/or Scrutiny Committee as appropriate.</p>	<p>Head of Neighbourhood Services / Green Space Team Leader: Agree with recommendation. To be developed, presented and discussed at the next Green Space Development Group meeting. PID: June 2017.</p>	<p>This item is being actioned and to be completed by end of March 2018. The Green Space Developed Group will consider the 2018/19 programme and the longer term issues relating to the Green Space Strategy.</p>
<p>Project tracking procedures should be implemented to ensure that issues likely to impact significantly on the project timetable or lead to cost escalations are promptly logged with explanations and actions taken.</p>	<p><i>Head of Neighbourhood Services / Green Space Team Leader:</i> Agree with recommendation. PID: From now onwards.</p>	<p>Green space projects are tracked using highlight reports, which will identify any significant variances to project costs or delivery time scales. Progress will also be discussed as part of the scheduled 1 to 1s and team meetings in the Green Space Team.</p>
<p>Project timetables and cost allocations should be updated as and when they change during each project.</p>	<p><i>Head of Neighbourhood Services / Green Space Team Leader:</i> Agree with recommendation. PID: From now onwards.</p>	<p>As above.</p>
<p>A completion report should be implemented for each project to be signed off by the Green Space Team Leader and Head of Neighbourhood Services.</p>	<p><i>Head of Neighbourhood Services / Green Space Team Leader:</i> Agree with recommendation. PID: From now onwards.</p>	<p>Completion reports are established for all those included with the Green Space Action Plan and are signed off when all elements of the project have been completed to the required standard.</p>