

**SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS  
ISSUED QUARTER 3, 2012/13**

<b>Report Reference</b>	<b>Recommendation</b>	<b>Risk Rating<sup>1</sup></b>	<b>Responsible Officer</b>	<b>Management Response and Target Implementation Date</b>
<b>Corporate Property and Portfolio Management – 31 December 2012</b>				
4.7.6	Consideration should be given to assigning responsibility for the Deeds Store to a specified officer or section and for them to provide supervised access and a more sophisticated document tracking system.	Medium	Economic Development and Regeneration Manager.	<b>Despite reminders, no response received.</b>
4.9.6	A detailed examination of the insurance situation for all NOCPs should be undertaken to ensure that it is being charged, recharged and allocated appropriately and correctly.	Medium	Estates Manager / Insurance Officer.	<b>Despite reminders, no response received.</b>
<b>ICT Backup Strategy, Processes and Procedures – 1 November 2012</b>				

<sup>1</sup> Risk Ratings are defined as follows:

- Low - Minimal adverse impact on achievement of the Authority's objectives if not adequately addressed.
- Medium - Moderate adverse impact on achievement of the Authority's objectives if not adequately addressed.
- High - Requires urgent attention with major adverse impact on achievement of Authority's objectives if not adequately addressed.

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4.1.2	The ICT Electronic Information Backup Policy should be updated to provide clear guidance as to the Council's approach to backup encryption.	Medium	ICT Services Manager	Agreed. The backup policy has been amended to clarify the position on backup encryption for corporate backups, including the addition of a risk assessment. The encryption guidance for all other backups remains valid.
4.3.2	The Council should build a regular review into their tape retention policy to keep track with developing technology.	Low	Infrastructure Manager	Agreed. HP Data Protector has 'fair' and 'poor' warnings for tapes based on usage and age. Each time a tape goes 'fair' the operating lifespan of the tape will be validated against the suppliers' current best practice for tape retention and usage.
<b>ICT Business Applications – Active H Integrated Housing Management System – 14 December 2012</b>				
4.1.5	The need for classifying the data held within Active H should be reviewed, with steps taken accordingly depending on the outcome of this review.	Medium	Business Manager	Agreed. The need for classifying data held within Active H will be reviewed. April 2013.
4.2.3	Password control should be strengthened by amending parameters within the system. Minimum length requirement should be set to eight characters and frequency of password changes should be reduced to every 90 days in line with other systems in use.	Low	Application Support Analyst & Senior Finance Officer	Testing will be performed to ensure that these suggested changes will not invalidate users' current passwords, and lock them out of the system. April 2013.

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4.2.4	The 'account lockout threshold' within the security parameters should be amended to lock users out after a specific number of unsuccessful attempts.	Low	Application Support Analyst & Senior Finance Officer	This will be covered as part of the testing detailed above. April 2013.
4.2.5 (a)	The purpose and origin of the instance-level 'administrator' should be ascertained. The privileges assigned to this account should subsequently be adjusted as appropriate.	Medium	Database Administrator	The administrator account has been disabled. Complete.
4.2.5 (b)	A review of the logins assigned to the dbo_owner role should be undertaken. Changes should subsequently be made as appropriate to ensure that only those with a genuine operational need retain this level of privilege and that the correct domain account for each Application Support user is used where administrative privileges are to be retained.	Medium	Database Administrator	A review has been performed and three logins have been removed (mis_service, ActiveHUser and cpritchard). It was confirmed that the other members are necessary for administering the application. Complete.

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4.2.5 (c)	The privileges and permissions provided to the ActiveHGRP database role should be confirmed. The risk associated with users being inappropriately assigned to this role should subsequently be assessed. If the risk is deemed sufficient to require review, the domain and SQL Server-level accounts assigned to the role should be reviewed to ensure that only current members of staff and other authorised accounts remain assigned to the role. The review should include membership of all domain groups assigned to the role, including through nested domain groups such as WARWICKDC\engineers, which is assigned to the WARWICKDC\Housing ActiveH Access domain group.	Medium	Application Support Manager	An assessment of the risk has been completed and it has been deemed sufficient to require a review of the accounts assigned to the role, including the nested domain groups. This review has commenced, but will take some time due to the number of accounts involved. Feb 2013.
4.8.3	The use of the audit logging function should be reviewed to ensure that the tables being logged are of use to management and the system administrators.	Low	Business Manager	Agreed. The use of the audit logging function will be reviewed accordingly. April 2013.
<b>Private Sector Housing Grants – 31 December 2012</b>				
4.3.5	A formal method should be established for the charging of fees for each grant, with documentation being subsequently included in grant files to show how the figure for each grant has been calculated.	Low	Divisional Environmental Health Officer	A formal review of the charging policy on all grant and loan programmes is planned for January to May 2013. June 2013.

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4.3.10	Efforts should be made to ensure that all relevant documentation is placed on file.	Low	Divisional Environmental Health Officer	The importance of file documentation and management will be emphasised in writing to all staff and monitored by random quality assurance checks. January 2013.
<b>Supporting People Services – 19 December 2012</b>				
3.2.1	The risks pertaining to the practice of temporary homeless placements in guest rooms at very sheltered schemes should be considered as part of the next review of the Operational Risk Register, along with possible mitigation measures.	Medium	Head of Housing and Property Services	In post-audit discussion with the Business Manager, it was advised that this issue has been taken on board as a causal element in the recent major review of the Operational Risk Register for Housing and Property Services. Complete.
3.3.4	Subject to clarification on requirements from the Commissioning Body and/or Warwickshire County Council as appropriate, arrangements should be put in place for staff training on understanding and dealing with dementia.	Medium	Supporting People Services Manager	Dementia Training is being arranged with the Care Bureau for all staff during March and April, 2013. April, 2013 – Completion end of May 2013.
3.5.3	The Support Manual should be reviewed and revised as necessary.	Low	Supporting People Services Manager	Support manual already under review. 31 July 2013.

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<b>Energy Management – 18 December 2012</b>				
<p>The purpose of the audit examination was to report a level of assurance in respect of the structures and processes in place for ensuring economic, efficient and effective procurement and consumption of all forms of energy resources and compliance with relevant legislation.</p> <p>The examination comprised an evidential risk-based appraisal of management systems in place covering the following areas as applicable:</p> <ul style="list-style-type: none"> <li>• strategies and policies;</li> <li>• roles and responsibilities;</li> <li>• processes and procedures;</li> <li>• improvement and development.</li> </ul> <p>The audit was undertaken at a time of clear transition at both strategic and operational level, but with sufficient continuity in the control framework to secure economic, efficient and effective procurement and consumption of all forms of energy resources and compliance with relevant legislation.</p> <p>In the light of the above, we are able to give SUBSTANTIAL assurance of effective controls in place to mitigate against of the applicable risks.</p>				
<b>Public Conveniences – 12 December 2012</b>				
4.5.7	The cost of servicing the hand dryer in St Peter’s car park should be allocated to the correct cost centre.	Low	Senior Contract Officer	Senior Contract Officer has passed recommendation to Property Services to ensure the servicing of the hand dryer in St Peters is charged to the correct budget code. Immediate.

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<b>Open Spaces – 27 November 2012</b>				
<p>The audit was undertaken to review the controls in place over those aspects of Open Spaces that are not covered by other audits. Areas where controls are covered by other specific audits are:</p> <ul style="list-style-type: none"> <li>• Outdoor recreational facilities</li> <li>• The management of the grounds maintenance contract.</li> </ul> <p>In terms of scope, the audit covered the following areas:</p> <ul style="list-style-type: none"> <li>• Planning and provision</li> <li>• Trees</li> <li>• Play areas</li> <li>• Risk management</li> <li>• Budget planning and management.</li> </ul> <p>The control objectives examined were:</p> <ul style="list-style-type: none"> <li>• Open spaces under the control of the council are appropriately managed and plans are in place to ensure that this continues in the future</li> <li>• Open spaces under the control of the council are accessible to all</li> <li>• Members of the public are aware of the open space offering within the district</li> <li>• The council is aware of any concerns that members of the public may have regarding the open spaces provided</li> <li>• Trees and woodlands under the control of the council are appropriately managed and plans are in place to ensure that this continues in the future</li> <li>• The council is aware of trees that need to be maintained</li> <li>• Potential issues with regards to trees within the district are identified</li> <li>• Play equipment within the district remains safe to use</li> <li>• The council is aware of the risks in relation to the management of open spaces and has taken steps to address them</li> <li>• The financing of plans for open spaces has been appropriately considered</li> <li>• Budgets are appropriately controlled.</li> </ul> <p>Following our review, we are able to give a SUBSTANTIAL degree of assurance that the systems and controls in place for the management of the district's Open Spaces are appropriate and are working effectively.</p> <p>One minor issue identified during the audit, in relation to the ability to review progress against the programme of tree inspections will cease to be an issue if the responsibility for tree maintenance is taken over by Warwickshire County Council and, therefore, no recommendation is thought to be required. However, if this transfer of responsibility does not take place then steps need to be taken to address the issue.</p>				