

IMPLEMENTATION POSITION OF LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED QUARTER 3 2011/12

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Local Elections – 16 November 2011		
Clarification should be obtained as to whether the wording on the scale of fees means that 'any fraction' of 500 electors should attract an additional fee or whether 'conventional' rounding should be used.	<i>Electoral Services Manager:</i> Agreed. The issues will be discussed with the Returning Officer. December 2011.	Fees for conducting an election and generally performing all the duties which a Returning Officer is required to perform under the Local Government Act 1972 or by Order of the Secretary of State, a Returning Officer may recover his charges for services and expenses provided they were necessarily rendered or incurred for the efficient and effective conduct of the election. The term fraction "there of" takes account of the Returning Officer fees paid in relation to the number of electors within an Electoral Area. The fraction over the whole number of electors is to be taken into the next portion of the fee and not rounded down. As agreed in 1973 -1976 nationally for Local Government elections following the introduction of the Local Government Act 1972. Please see Statutory Instruments for Parliamentary and other National elections i.e. 1999 no. 1377.

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A decision should be made as to whether an additional payment should be made to the Returning Officer to account for the errors identified.	<i>Electoral Services Manager:</i> Agreed. The issues will be discussed with the Returning Officer. December 2011.	Returning Officer Fee adjusted at following election, which Returning Officer was satisfied with.
Communications – 9 November 2011		
A formal strategy for communications should be finalised, presented to Council for adoption and subsequently monitored and reported.	<i>Head of Corporate and Community Services / Media and Comms. Manager:</i> This will be reviewed as part of the Channel Strategy and review of C&CS. April 2012.	Due for completion Dec 2012. Presented to Council Jan 2013. Roll out to WDC early Feb 2013.
At the same time that a strategy for communications is presented for adoption, a policy should also be prepared.	<i>Head of Corporate and Community Services / Media and Comms. Manager:</i> This will be reviewed as part of the Channel Strategy and review of C&CS. April 2012.	In progress - Due for completion Dec 2012
A set of procedures or code of practice for communications should be compiled, published and made available to all staff.	<i>Head of Corporate and Community Services / Media and Comms. Manager:</i> This will be reviewed as part of the Channel Strategy and review of C&CS. April 2012.	In progress - Due for completion Dec 2012.

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A staff survey should be prepared and distributed in order to obtain the views of staff on internal communications.	<i>Head of Corporate and Community Services / Media and Comms. Manager:</i> SMT is reviewing existing information from staff on internal communication. A plan will be developed from this. April 2012.	Staff Focus Panel set up Sept 2012. Panel Comments sent to CMT with Media Room recommendations Oct 2012. Actions to start from Nov 2012. Full Roll out from Jan 2013.
The risks associated with communications should be identified and recorded in the Corporate and Community Services Risk Register.	<i>Head of Corporate and Community Services / Media and Comms. Manager:</i> Will be completed in December 2011. January 2012.	Revised mid-Nov2012.
TOTAL Financial Management: IT Application – 25 November 2011		
The approach to service accounts for the SQL Server instance that hosts the Total databases should be assessed with a view to achieving compliance with the SQL Server Policy.	<i>Database Administrator:</i> Agreed. Whilst this was considered to be of very low importance (and risk), changes have been made so that the agent and the SQL service are run on separate accounts.	No further response required.

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Microsoft guidance on the amendment of passwords should be examined with a view to amending passwords when a member of IT with access to those passwords leaves the team.	<i>Database Administrator:</i> Agreed. Although the Auditor agreed there was a 'slim risk', the database SA account has been renamed in accordance with best practice and the password has been changed. Completed.	No further response required.
A review should be performed of all users who have privileges within the 'special access' of 'full access' groups to ascertain whether they need the level of access which they have been granted.	<i>Financial Services Manager:</i> Agreed. This will be actioned when the next authorisation review takes place. February 2012. Completed.	No further response required.
The recovery capability, in terms of worst case data loss and the worst case recovery time for the Total database, should be confirmed to senior management in the Finance team.	<i>ICT Services Manager:</i> Agreed. ICT Services is undertaking a 3 day business continuity test (28-30 November) to test its off-site recovery procedures. The outcome of the test will be reported to the ICT Steering Group and will include the worse case data loss scenario. The Head of Finance is member of the ICT Steering Group. January 2012.	Following the 3 day off-site recovery test a report was sent to SMT (01 Feb 2012) which identified both the recovery time and worse case data loss. It was felt that notifying Senior Management Team of the outcome was a better solution than limiting the information to either the Finance management team or the ICT Steering Group.

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Application testing and release processes should be reviewed to ensure that issues such as those encountered by TOTAL users should not be repeated for any other application releases.	<p><i>Application Support Manager:</i></p> <p>Agreed.</p> <p>All old versions of the client software for TOTAL are in process of being removed from all PCs. The new deployment method will not allow old versions to remain on PCs in future. The Application Support planned maintenance checklist has been updated with the following:</p> <p>a) at the step where the release package is built, a reminder to include PowerPoint documents</p> <p>b) a note to say that if there are ever two valid versions of the client software live at the same time, the Allow flag must not be set.</p> <p>Completed.</p>	No further response required.
Telephony Services – 23 November 2011		
The update of technical configuration documentation and supporting procedures should include appropriate document version control.	<p>ICT Services Manager:</p> <p>Agreed.</p> <p>Appropriate version control has been added to the technical documentation supporting telephony services.</p> <p>No further Action.</p>	No further response required.

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A Council-wide review of current mobile phone tariffs should be commissioned to evaluate the potential for cost savings.	<i>Senior Management Team:</i> Note: This should be considered in conjunction with forthcoming proposals from the Procurement Manager.	<i>Procurement Manager:</i> A review of the council's mobile phones usage and tariffs was undertaken by an independent consultant. Using the Government Procurement Service framework contract, the council is now in the process of changing the supplier. This has resulted in significant savings. A mobile phone policy has now been implemented to support this change and the contract will be closely managed within Housing & Property Services.
The usage of switches connecting to the external telephone service provider should be reviewed on a regular basis to identify any issues of underutilisation that could lead to renegotiation of capacity requirements.	<i>ICT Services Manager:</i> Agreed. The Council's telephony suppliers have been contacted with a view to identifying a mechanism for monitoring the usage of the 'switches'. Unfortunately, because the switches are analogue devices, such monitoring cannot be undertaken. No further Action.	No further response required.
Golf Course – 29 December 2011		

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When completed a formal, original, signed copy of the lease should be obtained and held with other legal documents in the Deeds Store.	<i>Head of Cultural Services:</i> Process of assigning the Operating Lease (on the completion of the Development Works in Dec 2011) is underway with WCC Legal team and Mack Golf solicitor. April 2012.	Signed lease received from Mack Golf May 2012. Original with WDC Estates Management. WCC Legal Team also hold copy.
The risks associated with the operation of the golf course should be identified and recorded in the Cultural Services risk register.	<i>Head of Cultural Services:</i> Completed. January 2012.	No further response required.
Sports Development – 13 October 2011		
Fees for activities provided by Sports Development should be formally reviewed and approved by service management.	<i>Active Communities Officer:</i> Agreed. The pricing of activities will be covered as part of the review of holiday activities that is due to be performed. End of March 2012.	Discussion held at officer level and decision made to retain current prices for Sports Play and Multi Sports sessions held within community location to encourage young people to participate in active lifestyles.

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A stock check should be performed to establish the value of equipment held by Sports Development. The Insurance Officer should then be consulted to ascertain whether it is worth insuring the equipment.	<i>Active Communities Officer:</i> Agreed. A stock check will be completed and the Insurance Officer will be contacted thereafter. End of March 2012.	Stock check completed March 2012 and stock inventory sent to Insurance Officer with estimated value of stock. Decision made not to insure equipment due to low value (£1000-£1500), replacement of any equipment through damage, loss or theft would be covered through existing revenue budgets.
Castle Farm Recreation Centre & Abbey Fields Swimming Pool – 22 December 2011		
Whenever possible all orders should be fully and accurately priced and include delivery or carriage.	<i>Centre Manager (Castle Farm and Abbey Fields):</i> Centre Manager to contact suppliers for detailed carriage charges for future orders and remind staff obtaining quotes at team meeting. 18 Jan 2012.	All Staff have been trained and the NOP has been altered to reflect this.
Staff should be reminded of the importance of always completing the signing in and out sheets.	<i>Centre Manager (Castle Farm and Abbey Fields):</i> Staff to be reminded at team meetings the importance of always completing the signing in and out sheets. 18 Jan 2012.	All Staff informed that they must comply and that it is an audit requirement. Signing book checked periodically by the Centre Manager.

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Receptionists and supervisors should be reminded of the need to have two people involved in the cashing up routine and that the shift sheet is signed by them both.	<i>Centre Manager (Castle Farm and Abbey Fields):</i> Staff to be reminded at the next team meeting of the need to have two people involved in the cashing up procedure. 18 Jan 2012.	Implemented, although at Castle Farm on the odd occasion where casual cover has been found it is not possible to have two people present and two signatures. This does not occur frequently maybe once or twice within a year.
All block bookings should be evidenced by an application form and a letter of approval.	<i>Centre Manager (Castle Farm and Abbey Fields):</i> Missing booking form to be obtained before Abbey opening 30 Jan 2012.	All Staff have been trained and the NOP has been altered to reflect this.
Copies of direct debit forms should be destroyed when no longer needed and stored securely in the interim.	<i>Centre Manager (Castle Farm and Abbey Fields):</i> To be communicated in next team meeting and destroyed immediately. 18 Jan 2012.	It has been decided not hold any direct debit data on site. New direct debit pads will be two part sets instead of three. Old direct debit forms to be collected and destroyed securely.
Staff at Castle Farm should be made aware of the need to enter complete details on the card issue sheets and that they are clearly legible.	<i>Centre Manager (Castle Farm and Abbey Fields):</i> To be communicated at the next team meeting. 18 Jan 2012.	All Staff have been trained and the NOP has been altered to reflect this.

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Card issue procedures and the set up of Flex at Castle Farm should be reviewed to ensure that all necessary data is captured by Flex as intended.	<i>Centre Manager (Castle Farm and Abbey Fields):</i> Training required for all staff at Castle Farm on card issue procedures 29 Feb 2012.	Booking system request the details as part of the application process. All staff have been informed to complete details.
Any significant changes to inventories should be recorded and notified to the Insurance Officer as they occur.	<i>Centre Manager (Castle Farm and Abbey Fields):</i> Inventory to be reviewed at Abbey Fields before we open. 30 Jan 2012.	One person has responsibility for ensuring that the inventory has been kept to date and the Centre Manager reviews the inventory annually.