

**SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS  
ISSUED QUARTER 4, 2016/17**

<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 (TID)</b>
<b>Human Resources Management – 15 March 2017</b>				
No recommendations arising.				
<b>Corporate Property &amp; Portfolio Management – 29 March 2017</b>				
No recommendations arising.				
<b>Collection of Council Tax – 7 February 2017</b>				
No recommendations arising.				
<b>ICT Disaster Recovery and Business Continuity – 27 March 2017</b>				
4.2.2	The Business Application Supplier Strategy and the Staff Absence Strategy should be confirmed as current and the review date noted in the document.	Low	ICT Services Manager	These have now been reviewed and updated. TID: Completed.

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

- High: Issue of significant importance requiring urgent attention.  
Medium: Issue of moderate importance requiring prompt attention.  
Low: Issue of minor importance requiring attention.

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4.3.3	A strategy for continued operations in terms of alternative locations and/or equipment should be established.	Medium	CMT / Deputy Chief Executive (AJ)	Options for delivering “continued operations” to be developed and considered with the objective of agreeing a solution within the next six months. TID: September 2017.
<b>ICT Change Management and Testing – 22 March 2017</b>				
4.3.2	Management should update the ‘ICT Services – Change Management Policy’.	Low	Applications Support Manager	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. TID: Completed.
4.4.6	Management should standardise and enforce the documentation of approval through the use of custom fields in the system.	Medium	Applications Support Manager	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. TID: 30 September 2017.

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<b>Business Applications: TOTAL Financial Management – 22 March 2017</b>				
4.3.4	Management should investigate options around updating the version of TOTAL and plan/schedule the required upgrade to the system.	Medium	Principal Accountant (Systems)	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 TID: January 2018.
4.3.5	Management should obtain and review the agreement to ensure that it is up-to-date, reflects current arrangements and meets Council requirements.	Low	Principal Accountant (Systems)	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. TID: July 2017.
4.5.3	The accounts should be reviewed and any generic accounts replaced with named individual accounts for those requiring access.	Low	Finance Admin Manager / Senior Finance Administration Officer	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). TID: Not applicable.

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4.6.3	Management should investigate methods of identifying and reviewing access levels of staff changing roles, such as via reporting from HR.	Low	Finance Admin Manager / Senior Finance Administration Officer	HR have asked ICT to provide the details of movers when they provide information on starters and leavers. TID: June 2017.
<b>Patching and Firmware Updates – 28 March 2017</b>				
4.3.3	Management should update the 'ICT Patch Management Policy' and review at least annually to ensure it remains current and valid.	Low	ICT Services Manager	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. TID: Complete.

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4.4.6	The patches in question should be reviewed to ensure that any risk is being mitigated or addressed by the patching regime.	Medium	ICT Services Manager	<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>TID: Complete.</p>

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4.5.2	Management should address or seek to mitigate risks posed by the remaining missing patches.	Medium	ICT Services Manager	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. TID: Complete.
<b>Recruitment and Selection, Terms and Conditions – 8 March 2017</b>				
4.2.4	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.	Medium	HR Manager	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. TID: End Sept 2017.
4.4.5	Recruiting managers should be instructed to provide evidence of the short-listing process and the interview scoring to HR.	Medium	HR Manager	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. TID: End May 2017.

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<b>Golf Course (Contract Management) – 31 March 2017</b>				
4.5.7	A decision should be taken as to whether Mack are 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.	Low	Deputy Chief Executive / Head of Cultural Services	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. TID: September 2017.
4.6.2	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.	Low	Deputy Chief Executive / Head of Cultural Services	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. TID: September 2017.
4.6.4	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.	Low	Sport and Leisure Contracts Manager	Agreed. The contractor will be approached to provide evidence of the professional liability insurance. TID: May 2017.
4.6.6	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.	Low	Sports & Leisure Contract Manager	Agreed. Mack will be advised to cancel their insurance and that they will be recharged in accordance with the lease. TID: Completed.

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<b>Catering Concessions – 31 March 2017</b>				
4.5.3	The budget figure for the Jephson's Brasserie commission income should be reviewed to ensure that it reflects true income levels in future years.	Low	Arts Manager	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. 31 July 2017.
4.5.6	Ad-hoc checks should be performed of the sales figures provided by Kudos.	Low	Arts Manager	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. 30 November 2017.
<b>Building Control – 31 January 2017</b>				
4.4.2	The procedure manual should be updated to reflect current working processes.	Low	Head of Consortium & Business Support Manager	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. It was noted that the document was last visited in 2007. TID: March 2018.



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4.4.8	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.	Medium	Head of Consortium, Principal Building Consultants & Business Support Manager	<p>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. TID: June 2017.</p> <p>2. New applications to be processed within 48 hours and this will be monitored by the Principal Building Consultants. TID: January 2018.</p>
4.4.9	Sample case monitoring should be undertaken by senior staff to ensure that applications are being appropriately processed, with the system being completed accurately.	Medium	Head of Consortium	<p>Sample testing will be undertaken from all three areas across the group, namely Daventry, Rugby and Warwick areas. TID: Quarterly basis. April 2017.</p>
4.5.4	The figures included in the budget for consultants' fees and the recharges to others should be reviewed and amended accordingly.	Low	Head of Consortium & Business Support Manager	<p>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. TID: April 2017.</p>

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4.5.6	An annual financial statement should be produced and published.	Medium	Head of Consortium, Business Support Manager & Assistant Accountant	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. TID: April 2017.
4.5.13	The fee parameter table in Acolaid should be updated to include the correct figures.	Low	Head of Consortium & Business Support Manager	The fee table has now been reviewed and updated during a scheduled meeting with IDOX. TID: Completed.
<b>Conservation &amp; Design – 13 February 2017</b>				
4.2.7	The GIS Team should be made aware of all changes to conservation areas and listed buildings in a timely manner.	Low	Principal Conservation & Design Officer, GIS Manager, and Planning Administration Manager	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. TID: Completed.

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<b>Crime and Disorder – 9 January 2017</b>				
4.2.8	Consideration should be given to including a section on crime and disorder implications in (all or selected) committee reports.	Low	Safer Communities Manager & Democratic Service Manager / Deputy Monitoring Officer	Discussions to be held with Committee Services to review. TID: Completed.
4.2.12	The YouTube video, regarding the priorities of the SWCSP, should be updated to include recent statistics.	Low	Safer Communities Manager	The video cannot be updated. A comment is to be placed on the website to demonstrate the priorities remain the same. TID: Completed.
4.2.12	A link to the video should be included on the relevant pages of the WDC website.	Low	Safer Communities Manager	The link to the video has been checked and updated. TID: Completed.
4.4.9	The Community Safety page of the council's website should be updated to show the latest crime figures.	Low	Safer Communities Manager	The figures have been updated on the website. TID: Completed.
<b>Lettings and Void Control – 31 March 2017</b>				
4.2.3	Procedure notes should be drawn up for the housing allocation process.	Low	Housing Advice and Allocations Manager	Procedure notes for the allocations process will be drafted. TID: July 2017
4.3.5	Staff should be reminded of the need to ensure that all documents are scanned to the correct network files.	Low	Housing Advice and Allocations Manager	Email sent 30/3/2017. TID: Completed.

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4.3.8	Consideration should be given to limiting the number of offers that HomeChoice applicants can refuse following successful bids for properties.	Low	Housing Advice and Allocations Manager	This will be considered as part of the Homechoice 2016 Review. TID: November 2017
<b>Open Spaces – 31 March 2017</b>				
4.2.5	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.	Low	Head of Neighbourhood Services / Green Space Team Leader	Agree with recommendation. TID: October 2017.
4.3.4	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.	Low	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. TID: June 2017.
4.6.6 (1)	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.	Low	Head of Neighbourhood Services / Green Space Team Leader	Agree with recommendation. TID: From now onwards.
4.6.6 (2)	Project timetables and cost allocations should be updated as and when they change during each project.	Low	Head of Neighbourhood Services / Green Space Team Leader	Agree with recommendation. TID: From now onwards.

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4.6.6 (3)	A completion report should be implemented for each project to be signed off by the Green Space Team Leader and Head of Neighbourhood Services.	Low	Head of Neighbourhood Services / Green Space Team Leader	Agree with recommendation. TID: From now onwards.