

APPENDIX 3

SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS ISSUED QUARTER 3, 2011/12

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date
Local Elections – 16 November 2011				
4.1.10	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.	Low	Electoral Services Manager	Agreed. The issues will be discussed with the Returning Officer. December 2011.
4.1.10	A decision should be made as to whether an additional payment should be made to the Returning Officer to account for the errors identified.	Low	Electoral Services Manager	Agreed. The issues will be discussed with the Returning Officer. December 2011.

¹ 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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Communications – 9 November 2011

4.5.9	A formal strategy for communications should be finalised, presented to Council for adoption and subsequently monitored and reported.	Medium	Head of Corporate and Community Services / Media and Comms. Manager	This will be reviewed as part of the Channel Strategy and review of C&CS. April 2012.
4.6.4	At the same time that a strategy for communications is presented for adoption, a policy should also be prepared.	Medium	Head of Corporate and Community Services / Media and Comms. Manager	This will be reviewed as part of the Channel Strategy and review of C&CS. April 2012.

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4.6.4	A set of procedures or code of practice for communications should be compiled, published and made available to all staff.	Medium	Head of Corporate and Community Services / Media and Comms. Manager	This will be reviewed as part of the Channel Strategy and review of C&CS. April 2012.
4.8.6	A staff survey should be prepared and distributed in order to obtain the views of staff on internal communications.	Medium	Head of Corporate and Community Services / Media and Comms. Manager	SMT is reviewing existing information from staff on internal communication. A plan will be developed from this. April 2012.
4.10.4	The risks associated with communications should be identified and recorded in the Corporate and Community Services Risk Register.	Medium	Head of Corporate and Community Services / Media and Comms. Manager	Will be completed in December 2011. January 2012.
TOTAL Financial Management: IT Application – 25 November 2011				

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date
4.2.5	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.	Low	Database Administrator	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.
4.2.8	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.	Low	Database Administrator	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.
4.3.4	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.	Medium	Financial Services Manager	Agreed. This will be actioned when the next authorisation review takes place. February 2012. Completed.

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4.7.3	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.	Low	ICT Services Manager	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.
4.9.5	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.	Medium	Application Support Manager	Agreed. 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: a) at the step where the release package is built, a reminder to include PowerPoint documents 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. Completed.

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Telephony Services – 23 November 2011

3.4.3	The update of technical configuration documentation and supporting procedures should include appropriate document version control.	Low	ICT Services Manager	Agreed Appropriate version control has been added to the technical documentation supporting telephony services. No further Action.
3.4.6	A Council-wide review of current mobile phone tariffs should be commissioned to evaluate the potential for cost savings.	Medium	Senior Management Team	<i>Note: This should be considered in conjunction with forthcoming proposals from the Procurement Manager</i>
3.5.2	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.	Low	ICT Services Manager	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.

Golf Course – 29 December 2011

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date
4.3.4	When completed a formal, original, signed copy of the lease should be obtained and held with other legal documents in the Deeds Store.	Low	Head of Cultural Services	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.
4.7.2	The risks associated with the operation of the golf course should be identified and recorded in the Cultural Services risk register.	Low	Head of Cultural Services	Completed. January 2012.
Sports Development – 13 October 2011				
4.2.6	Fees for activities provided by Sports Development should be formally reviewed and approved by service management.	Low	Sports Development Manager and Sports & Events Manager	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.
4.5.3	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.	Low	Sports Development Manager	Agreed. A stock check will be completed and the Insurance Officer will be contacted thereafter. End of March 2012.
Castle Farm Recreation Centre & Abbey Fields Swimming Pool – 22 December 2011				

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date
4.4.3	Whenever possible all orders should be fully and accurately priced and include delivery or carriage.	Medium	Centre Manager (Castle Farm and Abbey Fields)	Centre Manager to contact suppliers for detailed carriage charges for future orders and remind staff obtaining quotes at team meeting. 18 Jan 2012.
4.7.4	Staff should be reminded of the importance of always completing the signing in and out sheets.	Medium	Centre Manager (Castle Farm and Abbey Fields)	Staff to be reminded at team meetings the importance of always completing the signing in and out sheets. 18 Jan 2012.
4.8.2	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.	Medium	Centre Manager (Castle Farm and Abbey Fields)	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.
4.8.7	All block bookings should be evidenced by an application form and a letter of approval.	Medium	Centre Manager (Castle Farm and Abbey Fields)	Missing booking form to be obtained before Abbey opening 30 Jan 2012.
4.8.10	Copies of direct debit forms should be destroyed when no longer needed and stored securely in the interim.	Medium	Centre Manager (Castle Farm and Abbey Fields)	To be communicated in next team meeting and destroyed immediately. 18 Jan 2012.

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4.8.11	Staff at Castle Farm should be made aware of the need to enter complete details on the card issue sheets and also that they are clearly legible.	Medium	Centre Manager (Castle Farm and Abbey Fields)	To be communicated at the next team meeting. 18 Jan 2012.
4.8.12	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.	Medium	Centre Manager (Castle Farm and Abbey Fields)	Training required for all staff at Castle Farm on card issue procedures 29 Feb 2012.
4.10.3	Any significant changes to inventories should be recorded and notified to the Insurance Officer as they occur.	Medium	Centre Manager (Castle Farm and Abbey Fields)	Inventory to be reviewed at Abbey Fields before we open. 30 Jan 2012.