

**SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS
ISSUED QUARTER 1, 2012/13**

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date
Computer Virus Protection – 30 June 2012				
<p>The purpose of the audit was to report a level of assurance on the controls in place for managing the risk of disruption to Council services through malicious software. The audit comprised an evidential overview examination of:</p> <ul style="list-style-type: none"> § IT governance aspects of protection against malware (i.e. through risk assessments, strategies, policies, roles, responsibilities and procedures); § anti-malware hardware and software solutions in place and their application (associated processes such as the use of penetration testing were excluded). <p>The findings from the overview indicated a robust framework for protecting the Council’s systems from malware incursion with appropriate strategies and policies in place being well managed and continuing to develop to meet emerging threats. Although some potential issues have been observed regarding mobile devices, it was established that appropriate action is in hand to address these.</p> <p>In conclusion, the audit was able to give substantial assurance that appropriate controls are in place to manage effectively the risks of malware incursion through the Council’s network perimeter.</p>				

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.

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date
Insurances – 30 June 2012				
4.3.1	A formal process should be implemented to advise the Insurance Officer of relevant changes to services.	Medium	Insurance Officer	This will be raised with the Head of Finance to raise at SMT and an item will be prepared for Core Brief so that all staff are aware of the need to flag up any changes. September 2012.
Estate Management – 25 June 2012				
4.3.7	Meetings between the Senior Estates Supervisor and the Estate Supervisors should take place on a regular basis at Riverside House.	Low	Senior Estates Supervisor	Meetings are now booked in every 3 months the first one took place 25/05/2012 and the next meeting is scheduled for 24/08/2012. Already implemented.
4.4.2	An up to date inventory of furniture and equipment should be compiled and a copy forwarded to the Insurance Officer. Once compiled it should be updated and forwarded at least annually.	Medium	Senior Estates Supervisor	Visit sites and log equipment onto current inventory document and passed to Insurance officer. 31 July 2012.
4.5.3	The Senior Estates Supervisor should remind all of the Estate Supervisors of the importance of using the Tunstall lone worker system, regularly monitor compliance and take appropriate action if any of them persistently fail to use the system.	Medium	Senior Estates Supervisor	Staff were reminded via e-mail and at the team meeting in May I will be getting another report at the end of this month to ensure compliance. 02/07/2012 for next report – after that ongoing random checks.

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Outdoor Recreation Facilities – 24 May 2012				
4.1.2	The new contract specifications should include appropriate detail regarding the duties expected of the attendants at the relevant facilities.	Low	Events Management Officers & Green Space Development Officer	The attendant duties should be detailed out within the new contract when it comes to cash handling & the selling of tickets. When the new contract is awarded, an operating procedure for cash handling will be developed for attendants (by the responsible officers detailed) to sit within the new contract. April 2013.
4.3.6	The Edmondscote Athletics Track season ticket application form should be amended to show the correct winter season discount (60%) as agreed by Executive.	Low	Events Management Officer	The 2012/13 form has been amended to reflect the percentage discount as agreed within the fees and charges. The new form will be uploaded to the web page. August 2012.
4.4.2	Guidance should be reissued to Glendale attendants, advising them how to complete the weekly payment sheets.	Low	Events Management Officer	The Events Management Officer will pass on audit findings to the contract managers to report back to their weekly contract meetings. The Events Management Officer will also speak with the contractor supervisor to ensure their attendants are more thorough when it comes to inputting ticket data. August 2012.

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4.4.5	Checks performed by Finance staff should be evidenced on the returns provided by the contractor.	Low	Assistant Accountant	Agreed. Checks performed (now undertaken by a different staff member) are being annotated on the documentation held. Complete.
4.5.4	All invoices should be raised at the correct rates, with notes being maintained to cover any agreed variations to the prices published or amendments to the original bookings.	Low	Events Management Officer & Business Support Officer	Invoicing for the 2012/13 season will include details on the booking sheets to indicate any reasons for discounts on hourly fees or non charge for areas such as Pavilion hire, floodlights or PA system. The business support team will be taking on a more active role in the hiring and invoicing of the athletics track and a more standard approach will be made. August 2012 & ongoing.
Newbold Comyn Leisure Centre – 22 May 2012				
4.1.2	All orders placed should be fully and accurately priced as far as possible and include carriage.	Low	Centre Manager	Manager to add carriage & up date prices when ordering products. May 2012.
4.2.3	Management spot-checks of the petty cash should be undertaken and evidenced on the log sheet held.	Low	Centre Manager	To be checked at 1 to 1's monthly and signed by senior manager. Next 1-1 meeting.
4.5.10	All invoices should be raised at the correct rates, with particular focus being given when new fee periods come into effect.	Medium	Centre Manager	Fees & charges to be checked and corrected when raising invoices. May 2012.