Current Implementation Position for Recommendations Due for Completion by End of Quarter 2 2021/22
(including those not previously followed up under the previous process)

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Corporate Training (2020/21 Audit)				
Corporate Training should continue to remind SMT and senior managers of the importance of recording the appraisal documents.	With the new Performance Module of the HR/Payroll system being implemented July 2021 this will form part of a more empowered service for Managers to monitor within their own teams.	Jul-21	31 March 2022	At present, the performance management system is on hold with WCC doing further testing on it to ensure that it is fit for purpose and does not need updating further down the line. There is no set date at present for when this work will be undertaken.
Communications (2020/21 Audit)				
Guidance notes covering interaction with the media should be reviewed regularly and, where necessary, updated and re-issued.	Guidance notes for dealing with the media will be reviewed and updated on the media team intranet pages.	Ongoing from July 2021	Not applicable.	This has been reviewed and continues to provide suitable information for councillors. The target is ongoing, so it will continue to be reviewed.

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Tenancy Management (2020/21 Audit)				
All relevant documentation should be stored and recorded correctly to show that the Council is compliant with the tenancy agreement.	The Landlord Operations Manager is working on a set of procedures for Officer's to follow, relating to all functions of the Landlord Operations Team. These procedures will include storing of documents.	Jul-21	Not applicable.	A number of new procedures have been implemented which include full details of system updates and where relevant documentation needs to bs stored.
All relevant documentation should be stored and recorded correctly to show that the Council is compliant with the tenancy agreement.	Housing Services will review the use of IT equipment which could save straight to Active H using whilst on site, using devices such as iPads.	Sep-21	Not applicable.	New procedures in place which detail where documents should be stored for consistency. Early developmental progress with use of Total Mobile for possible use in field in future.
Information Governance (20/21 Audit)				
A review of relevant contracts should be performed where contractor staff have access to Riverside House or other relevant Council properties to ensure that appropriate reference is made to data security.	Contract managers will be asked to review their contracts to ensure that the need for data security has been appropriately considered in each case.	Sep-21	Dec-21	To date, five members of JMT have confirmed that the contracts within their Service Area have been appropriately reviewed with regards to data protection and security. It was highlighted in one response that data security (is now) a prominent part of the procurement process as contracts are tendered. Other priorities have meant that the exercise has not achieved the initial target date for all Services but the need to achieve the revised date will be emphasised.

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Management should take into account the health and wellbeing of staff in relation to current working conditions and the information governance implications of staff working in 'shared spaces' when taking decisions on future office needs.	These aspects will be given due consideration (in conjunction with relevant staff, such as HR and the Information Governance Manager) when future office needs are being considered.	Sep-21	Not applicable.	Health and Wellbeing is included and considered in departmental management team meetings, JMT and the Workforce Steering Group. It is also considered by the Health Officers Group and has been given full consideration in the 'Return to RSH' working group. ICT have facilitated all staff being provided with a headset, allowing them to maintain the privacy of conversations in an open environment. If required, ICT can also provide screen filters which obscure information from any passing observation, facilitating viewing only from a direct position. These filters however are not in general use as they are both very expensive and can have complications for users – such as causing headaches due to the blurriness the screens introduce. Private working spaces have also been made available where staff can take their laptops and Wi-Fi coverage has been improved to ensure these spaces are adequately covered.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
A review of work-issued devices (such as mobile phones) should be performed to ensure that they are suitable for the work now being performed at home (or other 'off-site' locations).	ICT Steering Group will be asked to perform a review of devices currently in use and to identify the resourcing implications of providing replacement devices where necessary.	Sep-21	31 March 2022	A formal review of the Council's mobile telephony service is currently being undertaken in conjunction with Stratford District Council. Work has been done to identify the requirements of service areas across both authorities in terms of devices and data/voice need, to ensure that they are fit for purpose. This has involved directly consulting with service managers, facilitated by the SDC Ways of Working team. We are also looking at the configuration of the devices, to ensure that we meet best practice guidelines issued by NCSC and remain useable for staff. The mobile phones will be subject to a joint procurement exercise and roll out early in 2022. This is behind schedule for the original target but will be completed by the end of Q4 2021/22.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Cyber Security (2020/21 Audit)				
A formal Network Monitoring Policy and supporting operational procedures should be documented. The policy should set out the scope of the monitoring activity; for example, specifying the infrastructure logs that are relevant, roles and responsibilities and the reporting and follow up processes needing to be carried out.	ICT can review its network monitoring and logging processes in line with the latest guidance from NCSC. An appropriate policy and process will be produced for consideration by the ICT Steering Group.	Sep-21	31 March 2022	ICT currently has an active workstream to look at the effective use of logging and reporting. Tools for this have existed within the service for a long time but have not been used as efficiently as possible to monitor key events. Guidance provided by NCSC is being used to develop the logging process and identify critical items. The work will be reviewed further in conjunction with SDC. This requirement should be fully addressed by the end of Q4, 2021/22.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Reviews should be conducted of the relevant Third-Party remote access policies, their related procedures and the remote working policy for staff and members. A regular review of the policies should be undertaken on an appropriately regular basis.	A number of ICT's key operational policies have not been reviewed according to the normal schedules, principally due to the impact of COVID-19 on capacity to carry out the work and the absence of key staff within the service. The Council's overall remote working and access policy requires a review to ensure that it takes account of the changed circumstances of WDC, where more staff are working remotely than ever before. A review of supplier remote access will also be undertaken to ensure that appropriate safeguards are in place and effective monitoring is operational.	Sep-21	31 March 2022	As part of the forthcoming merger process with Stratford District Council, work continues to progress on harmonising ICT policies. The Council's overall Remote Working and Access Policy and Supplier Remote Access Policy will be undertaken as per the recommendations and will be completed by the end of Q4 2021/22.
Corporate Governance (2021/22 Audit)				
DSE information and advice be made readily available to staff working from home or remotely.	Health and safety page to be reviewed and updated with current advice.	Jul-21	Not applicable.	All actions and recommendations completed and checked with the auditor to ensure satisfactory.