

Audit	Rec Number	Recommendation	Directorate	Priority	Original Due Date	Management response	Revised Due Date	Audit Comment on Management Action
Network Infrastructure & Wireless	IAS 08-129 Rec 18	Review Domain Security Option Settings and where appropriate make more use of these settings (e.g. "Clear virtual memory page file when system shuts down" and "Do not display last user logon name in logon screen" are both disabled).	Support Services (SS)	Low	31-Mar-10	As at November report - Complete.	30-Sep-11	<p>At the November report, this recommendation was not accepted as entirely complete.</p> <p>At the time, assurance was still required that "there has been a review of available security options, as per the recommendation, and that clear and documented decisions have been made on the implementation / non-implementation of associated settings".</p> <p>The one security option still left to be evidenced (not displaying the last user login name on the log in screen) will be implemented on the completion of the Thin Client project - due for completion at the end of September.</p> <p>Therefore, due date amended as such.</p>
Care-first Application: Care Management Module	IAS 08-171 Rec 10	Formally define and communicate the accepted documentation retention processes to be followed (e.g. scanning of key documentation in addition to hardcopy files).	Adult & Community Services (ACS)	Low	31-Jul-09	Implementation of the recommendation will form part of the final decisions around integration of Carefirst 6 to the EDRMS (Electronic Document Records Management System) corporate system for both the adult and children's social care records. There has been a delay around the EDRMS implementation in relation to mobile working due to technical difficulties and solutions are being reviewed corporately. Propose that this is reviewed again in 6 months.	30-Dec-11	<p>Agreed.</p> <p>The draft ICT work plan was provided that estimated the EDRMS / Carefirst integration work to be completed in approximately 6 months.</p>
Procurement	IAS 08-90 Rec 9	Re-launch the Procurement Toolkit to raise awareness of its existence and content.	Policy & Improvement (P&I)	Medium	31-Oct-08	This was identified as a medium priority action and at this time, a revised deadline of 30 th September 2011 is more appropriate. This will enable the necessary review of the current toolkit to take place in the context of the work that has been started to deliver the significant Contract Rationalisation savings that the Council has requested.	30-Sep-11	<p>Due to changes in management within the procurement team this recommendation has not been actioned. A new Head of Procurement is now in post and it has been agreed to implement this by 30 September 2011.</p>
Home Care Services	IAS 08-92 Rec 4	Set up a procedure to reconcile Home Care Service expenditure to CEDAR.	Adult & Community Services (ACS)	Medium	31-Jul-09	The full reconciliation on an individual service user basis will form part of the implementation of Carefirst 6. Carefirst 6 has been implemented but the integration with Agresso has now been delayed until August 2011. As an interim measure the forecast of expenditure is carried out by using actual expenditure on the Cedar accounting system.	31-Aug-11	<p>Agreed.</p> <p>Recommendation will be fully implemented via Carefirst and Agresso integration.</p>

Recommendations not fully implemented by due date

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Corporate Training and Development	IAS 08-98 Rec 7	Produce a quality assurance procedure to analyse courses and providers included within the Corporate Training Programme to ensure that training needs are being met and that suitable trainers are being retained.	Support Services (SS)	Medium	01-Feb-09	Complete - Evaluation form now includes a score of 1-10 (low = poor score) as well as the qualitative feedback. Any feedback of 6 or lower in any area will be highlighted to the People Development Adviser for a review of that event and possible discussion with supplier. Continual low scores will lead to a more formal review meeting with possible sanctions including cancellation of contract. All training providers now undergo an annual assurance review with checks on insurance liability, professional certificates, risk assessments and other relevant issues. All Training and Development providers also complete a summary sheet of the training session they delivered following each of their courses. Any issues highlighted by them will be followed up by the POD (People and Organisational Development) Team.	31-Jul-11	Substantially Implemented: quality assurance system has been developed for analysing training courses and course providers undertaken via the Corporate Training Programme. The documentation for collecting feedback for courses has been introduced and is operating effectively, however the process for evaluating course data collected is not yet imbedded. Therefore, this will be retested before this recommendation is signed off. A
Virus Protection & Spyware	IAS 09-189 Rec 1	Update the IT Security Policy as planned and implement an annual review process.	Support Services (SS)	Medium	30-Sep-09	We have a set of the new draft policies that have been produced in consultation with all 16 Essex Councils by Essex On Line Partnership these are being ratified and "Southendised" and will be put through for adoption by SBC.	01-Jul-11	Agreed.
Criminal Record Bureau Check and Vetting and Barring Scheme	IAS 09-209 Rec 1	Produce a corporate Criminal Record Bureau (CRB) checking policy. The policy should set out the Council's approach to: · dealing consistently, transparently and fairly with any positive disclosures of criminal offences · periodically rechecking existing staff obtaining evidence from contractors and partners they have had CRB checks completed where appropriate.	Support Services (SS)	High	31-Mar-11	This has been delayed due to the decision by the Government to review the framework proposed by the previous Government. The policy is now drafted and is out to consultation. Implementation is expected by July 2011.	01-Jul-11	Agreed.
Building Control	IAS 09-210 Rec 8	Focus the management / staff one to one meetings and staff peer reviews around checking that the Building Control Performance Standards Advisory Group key standards are being met. This check should assess and document whether the following are to an appropriate depth and quality: • proposed inspection plans; and • actual inspection work carried out This should form the evidence basis for staff appraisals (see R4).	Enterprise, Tourism & The Environment (ETE)	Medium	01-Dec-10	Work is underway to complete this recommendation. Temporary delay due to office relocation. This will be delivered by June 11.	01-Jun-11	Agreed. Although it could not be demonstrated that this recommendation was implemented on this occasion it is expected that this will be possible shortly so it will be checked during next quarter's review.

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Serious Case Review	IAS 10 - LSCB Rec 1	Define the LSCB (Local Safeguarding Children Board) process for monitoring the implementation of recommendations emanating from serious case reviews. This should define: · what information the LSCB requires from partners to satisfy itself that action plans are being addressed and that this should be supported by documentary evidence when any recommendation is to be signed off as implemented; · the function of the Case Review Panel in reviewing and challenging the quality of evidence supplied by partners; · the role of the Case Review Panel in changing the Red / Amber / Green status of recommendations as they become satisfied with the progress made in implementing recommendations; · the criteria for reporting progress in implementing recommendations up to the LSCB Executive Group and the main LSCB; and the LSCB's expectation that, after the Case Review Panel has signed off recommendations, partners will require their internal audit teams to independently confirm the implementation of recommendations and report on this to the LSCB.	Children & Learning (C&L)	High	01-Apr-11	Process included in revised terms of reference to be considered by the Case Review Panel at its next meeting on 1st July 2011. Please note that although drafts of the revised terms of reference for the LSCB Case Review Panel and the revised monitoring template to include identification of risk have been prepared these were not considered in May as the Panel meeting was cancelled, and are not now due to be considered by the Case Review Panel until its next meeting on Friday 1st July.	01-Jul-11	Work in progress. Internal Audit have been advised that the Case Review Panel meeting scheduled for 13th May was cancelled and all items are to be carried forward to the meeting of 1st July 2011. A revised draft of the terms of reference has been prepared for the Local Serious Children Board Case Review Panel but this did not include its role in changing the status of recommendations arising from a serious case review or set out an approach for prioritising recommendations by risk. Following the IA review the draft terms of reference is being revised and will be presented to the Case Review Panel in July 2011.
Serious Case Review	IAS 10 - LSCB Rec 2	Extend the Case Review Panel's terms of reference to include: · the robust challenge of evidence supplied by partners in support of recommendations implemented; and the responsibility for changing the red / amber / green status of recommendations when they are satisfied with the evidence.	Children & Learning (C&L)	High	01-Apr-11	Revised terms of reference to be considered by the Case Review Panel at its next meeting on 1st July 2011.	01-Jul-11	See above.
Serious Case Review	IAS 10 - LSCB Rec 4	Define an approach to assessing the risks attached to issues identified from serious case reviews and prioritise the importance of recommendations accordingly.	Children & Learning (C&L)	High	01-Apr-11	Process and template for recording and prioritising recommendations to be considered by Case Review Panel at its next meeting on 13th May 2011.	01-Jul-11	See above.
Serious Case Review	IAS 10 - LSCB Rec 5	Integrate the monitoring of high level risks / high priority actions into the LSCB Executive Group's assurance arrangements.	Children & Learning (C&L)	Medium	01-Apr-11	Process and template for recording and prioritising recommendations to be considered by Case Review Panel at its next meeting on 1st July 2011.	01-Jul-11	See above.

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Voluntary Sector Grants	IAS 10-262 Rec 6	Authorise the payment of grants over £25,000 in value in accordance with authorised signatory limits. (Payments under this amount are authorised by the Partnership Manager in line with delegated authority).	Policy & Improvement (P&I)	Medium	01-Apr-11	The Partnership Manager's authorisation limit has recently been increased to allow the approval of the larger payments made through the grants programme. examples where this has been complied with can be demonstrated in the next quarter.	01-Jun-11	Agreed.
Contract Procedure rules spot check 1 - ETE	IAS 10-263 Rec 1	Provide training on the application of Contract Procedure Rules for staff purchasing goods and services on behalf of the Council. In particular training should cover: · the role of the Procurement Review Group; · the significance of the Contract Procedure Rules process in ensuring the Council obtains value for money; and · the need to retain sufficient documentation to support the procurement process. Maintain records of staff who have received training.	Enterprise, Tourism & The Environment (ETE)	High	01-Mar-11	The Group Manager, Performance and Business Support with Procurement to deliver training to identified group of staff. It is anticipated the training will take place in June.	30-Jun-11	Agreed.
Contract Procedure rules spot check 1 - ETE	IAS 10-263 Rec 3	Establish procedures to review small and medium purchases to obtain assurance that Contract Procedure Rules (CPR) are being complied with.	Enterprise, Tourism & The Environment (ETE)	High	01-Mar-11	The Group Manager, Performance and Business Support working with Procurement to devise appropriate procedure to test CPR are being adhered to. It is anticipated the training will take place in June.	30-Jun-11	Agreed.
Contract Procedure rules spot check 1 - ETE	IAS 10-263 Rec 4	Evaluate the contract arrangements currently in place within service areas and identify where procurement needs to be brought into line with Contract Procedure Rules.	Enterprise, Tourism & The Environment (ETE)	High	01-Mar-11	The Group Manager, Performance and Business Support working with Procurement to establish areas where improvement is needed.	30-Jun-11	Agreed.

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Web Content Management	IAS 10-276 Rec 1	<p>Update the website policy and strategy as follows:</p> <ul style="list-style-type: none"> · Review and update to bring in line with current Council needs; · Approve the changes through the ICT Steering Group (ICTSG); · Establish version control; · Document approved content authors, editors and managers; and Align the current website development plan with the updated website strategy. 	Support Services (SS)	Medium	31-Dec-10	<p>Circumstances have substantially changed since the audit. The web features heavily as part of the work stream Reviewing and Streamlining Systems where we are to encourage more customers to self serve using the web (as it is cheaper, quicker and 24/7). This is a 3 year project and includes a great deal of encouragement and engagement to get customers to use the web more. This currently does not feature in the web strategy and would mean that the strategy is substantially reviewed in line with the new corporate priorities picking up on this work.</p> <p># Secondly, to ensure the web team delivers both on this strategic vision and to maintain a website that customers want to use, find easy to access and revisit to "self serve" we need to resource it correctly. The current team is 2 FTEs and is subject to a restructure where the resource will increased to 4 FTEs which will include two Web Editorial Officers who will maintain the web and pick up a number of the audit recommendations. The restructure does not conclude until the end of June, when the two vacant posts likely to be "filled" by staff currently in the Talent Pool. These staff will require training and support as it is unlikely that they will have previous website experience.</p> <p># Once the team is fully resourced, audit recommendations will be implemented as part of the two new posts' work and feature on the team's work programme.</p> <p># Whilst March 2012 seems a long way away, the web is now seen as a strategic tool to deliver savings, make "channel shift" (moving customers from phones, face to face) to the web and increasing ease of access for customers. There is a great deal invested in delivering "channel shift" and I am keen to meet the audit recommendations in the most appropriate programming of work.</p>	01-Mar-12	Agreed. Response provided explains the estimated timeframe.

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Web Content Management	IAS 10-276 Rec 2	Produce guidance notes covering the Content Management functions and approval procedures. Provide copies to content authors and managers prior to final handover.	Support Services (SS)	Medium	31-Dec-10	See above.	01-Mar-12	Agreed. Response provided explains the estimated timeframe.
Web Content Management	IAS 10-276 Rec 4	Formally hand responsibility for the review of website contents to the content managers.	Support Services (SS)	Low	31-Dec-10	See above.	01-Mar-12	Agreed. Response provided explains the estimated timeframe.
Web Content Management	IAS 10-276 Rec 5	Establish user roles within the Content Management System to enforce segregation of duties between publishers and editors and limit publishers' publish rights to their specific areas of responsibility. Assign roles appropriately prior to handover to departments.	Support Services (SS)	Medium	31-Dec-10	See above.	01-Mar-12	Agreed. Response provided explains the estimated timeframe.
Web Content Management	IAS 10-276 Rec 6	Enable the page aging configuration settings on the web pages.	Support Services (SS)	Medium	31-Dec-10	See above.	01-Mar-12	Agreed. Response provided explains the estimated timeframe.

High Priority Recommendations	7
Medium Priority Recommendations	11
Low Priority Recommendations	3
Total Recommendations	21