

**Summary of Recommendations and Management Responses from Internal Audit Reports
issued Quarter 1, 2023/24**

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Grant Applications – 9 June 2023				
4.2.1	A process should be in place that ensures the potential for ongoing funding has been considered when applying for grants.	Low	Head of Finance / Grant and Loans Manager	Guidance will be created to support a new grant process, in particular those that require ongoing funding. This will be accessible from the Intranet, where it will be necessary to complete a short form containing a section where any growth / funding requirements can be outlined for delegated approval. TID: April 2024
Tenancy Management – 16 June 2023				
4.3.2	Staff should be reminded to conduct follow-up visits within fourteen days.	Low	Landlord Operations Manager & Senior Housing Officer	This will be picked up in Team Meetings and at 1:1 supervisions with those responsible. A note will be added to the procedure to remind staff of the deadline. TID: July 2023

¹ 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.

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.3.2	Staff should be conducting visits at quarterly intervals for new tenancies.	Medium	Landlord Operations Manager	This will be addressed through implementation of management audits for how Introductory Tenancies have been managed. TID: September 2023
4.3.2	Staff should be reminded to issue secure tenancy agreements in a timely manner following the end of an introductory tenancy.	Low	Landlord Operations Manager	This will be addressed through implementation of management audits for how Introductory Tenancies have been managed. TID: September 2023
4.5.2	All officers conducting Tenancy Update Visits should check resident ID and note these checks on the visit sheets.	Medium	Landlord Operations Manager	A note will be added to the procedure to this effect and the documentation will be amended to reflect fact that ID needs to be checked. TID: July 2023.
4.7.2	Staff should be reminded to conduct tenancy update visits by their due date.	Low	Senior Housing Officer	To be picked up at Team Meeting and in staff 1:1 supervisions. TID: August 2023.
4.7.3	Staff should be reminded that NTQs should be served within seven days of a warning letter being issued.	Low	Landlord Operations Manager & Senior Housing Officer	To be picked up with HMA supervisions. TID: July 2023.
4.7.3	Staff should be reminded to date and issue Certificates of Delivery in a timely manner.	Low	Landlord Operations Manager & Senior Housing Officer	To be picked up with HMA supervisions. TID: July 2023.

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Staff Health and Wellbeing – 5 June 2023				
4.5.1	Although both numbers allow access to the service, the BUPA phone number for Employee Assistance Support should be consistent across all HWB pages.	Low	Head of People & Communications	The number will be changed. TID: End of June 2023.
Catering Concessions – 22 May 2023				
No recommendations were required on this occasion.				
Sports Development – 18 May 2023				
4.3.1	The criteria for the sport and physical activity grant should be reviewed and reassessed on a regular basis to ensure it is available to the more deprived communities, thus providing justification as to why it is it being restricted to specific wards.	Low	Active Communities Officer	The grants for the current financial year have already received a number of applications based on the criteria in place. A review will be completed and any changes will be put in place ready for the start of the next financial year. TID: April 2024.
4.5.1	As the criteria specifies that the applicant should have specific policies in place as well as public liability insurance, copies should be included with the application.	Low	Active Communities Officer	The list of policies and documents an applicant is required to have will be reviewed and updated as they may no longer be relevant or required. A disclaimer will be added to the information removing liability from WDC for activities associated with the grants. Where it is identified that a policy or document is still required a copy of it will be requested. TID: April 2024.

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Royal Pump Rooms (including Art Gallery) – 29 March 2023				
4.2.1	Officers should include the date that a service has been provided on all invoices.	Low	Arts Manager	All the team have been reminded to include dates on invoices from now on. TID: 1 April 2023.
4.7.2	Hire invoices should be raised prior to an event where possible; deposits should also be taken where necessary.	Medium	Programming & Marketing Manager	This was raised in another recent audit and has already been actioned. Programming & Marketing team now have Events Coordinator Post. TID: 1 April 2023.
	Staff should make notes on the invoice/hire agreement explaining why certain discounts have been awarded.	Low	Programming & Marketing Manager	All the team have been reminded to include notes on why discounts have been applied. TID: 1 April 2023.
	All invoices should include the hours charged.	Low	Programming & Marketing Manager	All the team have been reminded to include the hours charged on invoices. TID: 1 April 2023.
	All hires should have formal agreements in place, whether on a rolling basis or for one-off events.	Medium	Programming & Marketing Manager	This was raised in another recent audit and has already been actioned. Programming & Marketing team now have Events Coordinator Post. TID: 1 April 2023.