

Appendix 3

Current Implementation Position for Recommendations Due for Completion by End of Quarter 2 2023/24

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Financial Strategy, Planning and Budgetary Control (2022/23 Audit)				
<p>The 'Managing Your Cost Centre' course should be made mandatory for new budget managers with consideration being given to running this as refresher training for existing budget managers.</p>	<p>Original: A new training programme is to be established to support the use of the new Finance Management System, introduced in Nov 21. This was supported at launch by mandatory training sessions.</p> <p>Update: Support is currently offered by Assistant and Principal Accountants to assist all Finance system users (including Managers). A new Budgeting system is being developed and accompanying training. This will take place over the next couple of months with a view to having this live by September 2023.</p>	<p>September 2023 (Previous Target Date of April 2023.</p>	<p>Yes – revised to End of January 2024.</p>	<p>The PowerPoint that was going to build on the initial training we offered our users at go-live for new starters was being updated but, with one thing or another, this got delayed. The Strategic Finance Manager's thinking now is that this needs to be more Cost Centre Manager focused so we're looking at bringing those bits more into it.</p> <p>The last few weeks have been busy with the Fees and Charges exercise. That's over now, so this will be looked at again over the coming weeks with the Strategic Finance Manager and the team.</p>

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Open Spaces (2022/23 Audit)				
<p>A review of the new Victoria Park play area should be conducted, to ensure that the equipment is appropriate.</p>	<p>Original: The play area is safe because it received a post installation independent safety inspection and is now on the inspection regime. Agree there is need to evaluate the play area success and failures. Plan to work with the Friends of Victoria Park in getting public feedback.</p> <p>Update (January 2023): We are currently working with Friends of Victoria Park (FoVP) on drafting a new Victoria Park Survey which is now planned to be undertaken in Spring 2023, with results of the survey, including feedback on the new play area, to be known by June 2023.</p> <p>Update (August 2023): The Victoria Park Questionnaire Survey consultation period has ended (end of July 2023) with the results needing to be evaluated and written up. This then needs to be shared with Friends of Victoria Park group before being publicised. Generally positive feedback regarding the new play area and some lessons to be learnt.</p>	<p>September 2023 (Previous Target Dates of Dec 2022 and Jun 2023).</p>	<p>Not applicable.</p>	<p>The Victoria Park User Survey has been completed and the results are to be published. The feedback on the play area was that 94% of respondents were very positive about the new facility.</p> <p>We will continue to inspect the play area as per the play area inspection regime.</p>

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	Anticipated end date of September 2023.			
Tenancy Management				
Staff should be reminded to conduct follow-up visits within fourteen days.	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.	July 2023.	Not applicable.	Completed - picked up at team briefing.
All officers conducting Tenancy Update Visits should check resident ID and note these checks on the visit sheets.	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.	July 2023.	Not applicable.	Completed - procedure changed to reflect and brief given.
Staff should be reminded that NTQs should be served within seven days of a warning letter being issued.	To be picked up with HMA supervisions.	July 2023.	Yes – but within this same reporting period.	Initial Response: There is a current vacancy which means that this will be picked up in the induction of the new staff member when recruitment is completed. This currently awaiting a Hay panel so will probably be the end of September. Update on subsequent chasing: Addressed now in supervision - so can be marked complete.
Staff should be reminded to date and issue Certificates of Delivery in a timely manner.	To be picked up with HMA supervisions.	July 2023.		

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Staff should be reminded to conduct tenancy update visits by their due date.	To be picked up at Team Meeting and in staff 1:1 supervisions.	August 2023.	Not applicable.	This was discussed again at the team meeting with housing officers on 22nd August 2023. Officers have been provided with tablets to complete tenancy update visits. However, the software on the devices is not working correctly when officers are out on patch in residents homes, and is not allowing the data to be sent through. This has been shared with the Business Development and Change Officer who set the devices up and he is endeavouring to sort this out.
Staff should be conducting visits at quarterly intervals for new tenancies.	This will be addressed through implementation of management audits for how Introductory Tenancies have been managed.	September 2023.	Not applicable.	This has been addressed in management audits of how we are managing new tenancies and can be marked as completed.
Staff should be reminded to issue secure tenancy agreements in a timely manner following the end of an introductory tenancy.	This will be addressed through implementation of management audits for how Introductory Tenancies have been managed.	September 2023.	Not applicable.	

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Emergency Planning and Business Continuity Management (2022/23 Audit)				
The Council's main Business Continuity Plan should be reviewed and brought up to date.	The plan will be updated and brought in line with the recently-reviewed Emergency Management Plan.	September 2023.	Yes – revised to December 2023.	Can the completion date be change to the next quarter please. I wasn't aware the plan was being audited until after the due date.
Corporate Properties Repair and Maintenance (2022/23 Audit)				
The Asset Management Strategy should be used to evaluate options for the Council's assets.	The Strategy is being used for corporate assets and these have been categorised and classified and a project is underway with Savills to advise the Council on appropriate options for each asset – retain / invest / divest.	September 2023.	Not applicable.	All assets have been categorised so action is complete but Strategy does not conclude until the end of 2023 and will be reviewed when the new corporate strategy is agreed. First quarter of 2024 is the likely date for new asset strategy to be presented to Cabinet.
Shared Legal Services				
To ensure the Council is getting value for money the expenditure with all legal	The spending with legal services will be kept under review and raised at bi-monthly meetings.	August 2023.	Not applicable.	All legal work is now required to be set up with a cost code to

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suppliers should be kept under review and the service requirements considered when the SLA is next renewed.	Additional information has been requested to enable the spending to be monitored more efficiently.	September 2023.		enable improved reporting and allocation at WDC. To support improved budget monitoring now establishing quarterly review of legal spend (both with SDC and outside) to look for challenges and patterns.
Allocations, Nominations and Lettings (2022/23 Audit)				
Monitoring should be performed at least quarterly on applications nominated to Registered Providers (RPs).	Agreed to implement. May require either setting up meetings with the RPs or asking for a copy of their core reports relating to applications processed within Warwick District. Possible collaboration with Council Tax concerning New Builds and Housing Strategy to see if Active H will generate a flag when the expected handover date of nominations has passed.	August 2023.	Not applicable.	Housing Allocations Staff monitor successful nominations to Register Providers by use of Council Tax records on a monthly basis.
Refuse Collection and Recycling				
Copies of contractor insurance should be obtained and passed on to the WDC's Risk and Insurance officer.	An email will be sent to SDC asking for copies of this.	Completed at the time of the final report being issued.		
Any waste container charges incurred by WDC, of which 50% are rechargeable to Stratford-	SDC pay all invoices relating to Biffa and the MRF and then recharge the appropriate proportion to WDC. The only	End of August 2023.	Not applicable.	Now in place.

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on-Avon District Council (SDC), should be included on separate invoices and raised against SDC as a sundry debtor.	charges WDC incur are for waste containers and an email will be sent asking for this information.			
Both Stratford-on-Avon District Council (SDC) and the contractor should be reminded to highlight where performance deductions have been subtracted from the core waste service costs on monthly invoices.	An email will be sent to SDC to ask that this is highlighted on future invoices.	End of August 2023.	Not applicable.	Now in place.
Staff should be reminded to include the type of waste collected during monthly safety checks on the observation reports.	An email will be sent to staff to remind them to ensure they include the waste type on the Health & Safety checks.	Completed at the time of the final report being issued.		
The WDC Contract Officer Health & Safety Risk Assessment should be shared with both Stratford-on-Avon District Council (SDC) and Biffa.	This will be sent via email to SDC.	08/09/2023	Not applicable.	Now in place.
Leisure Facilities Contract (2022/23 Audit)				
The report format should be reviewed to ensure that it contains information relevant to the Council at the appropriate	The reporting of customer comments will be changed accordingly.	September 2023.	Not applicable.	Everyone Active are providing a new reporting mechanism which

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level of detail to enable the appropriate steps to be taken.				will be agreed with the Leisure Team and Audit in October 2023.

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CIVICA APP Application (2022/23 Audit)				
<p>Reviews should be undertaken to ensure that output from the system is retained and subsequently destroyed in line with the departmental retention policy and the requirements of the Data Protection Act 2018.</p>	<p>Agreed. Reviews of data retention and subsequent destruction will be undertaken.</p>	<p>September 2023.</p>	<p>Not applicable.</p>	<p>Safer Communities Leisure and Environment has been developing a Retention Policy alongside Information Governance. This has been a project undertaken by line managers and team leaders. A draft retention policy has been shared with the Information Governance Manager also (whilst looking at the DPIA recommendation). Because of these two approaches, we are reviewing how the data, and when the data, will be removed from the Civica application.</p> <p>For now, subsequent destruction of data will be actioned when these have been finalised. But it has been agreed that any data outside of our data retention policy will be removed securely from the application.</p> <p>Reviews of this data destruction will be discussed in the six-month review meetings about the application.</p>

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Grounds Maintenance				
The contractor should be reminded to record the weekly inspections for posts and pitches and pass these to the COPO.	A reminder email will be sent to IDVERDE.			Completed at the time of the final report being issued.
Officers should be reminded to respond to complaints in a timely manner.	A reminder email will be sent to Area Contract Officers.			Completed at the time of the final report being issued.
Rectification notice numbers should be included on the Default Notice spreadsheet in order for notices to be matched and located quickly.	A reminder email will be sent to Area Contract Officers.			Completed at the time of the final report being issued.
Staff should be reminded to check that once default notice charges are received, the relevant ledger codes are checked to ensure amounts are accurate and that all relevant notices are uploaded accordingly.	A reminder email will be sent to the Data and Performance Officer.			Completed at the time of the final report being issued.

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Recruitment and Selection, Terms and Conditions (2022/23 Audit)				
The report regarding the 'how did you hear about this post' question should be run on a regular basis to assess the engagement rates of the different methods of communication used.	Report completed. Quarterly analysis scheduled to review and action accordingly.	July 2023.	Not applicable.	The report is scheduled for the 1 st of each month and is then saved and analysed.
The Recruitment and Selection Policy should be updated to reflect current (agreed) processes.	This will be reviewed and updated as part of the Retention, Recruitment & Remuneration workstream under the People Strategy.	September 2023.	Yes – revised to December 2024.	Please move this to December 2024. This is part of the Retention, Recruitment and Remuneration Workstream but we will not be in a position to update the policy until we have done the necessary changes to the procedures in the RRR actions. This will come at the end.
Health and Safety Compliance of Council Buildings (2022/23 Audit)				

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Council properties with non-housing tenants should be providing the relevant documentation to comply with legislation such as the Fire safety order 2005.	There is an identified need to request and review compliance documentation from non-housing/ commercial tenants, although limited resource has only allowed for an intermittent approach to requesting this data and subsequently managing it. It is intended to review this as part of a review of the Neighbourhood and Assets team restructure during 2023.	End of July 2023.	Yes – revised to December 2023.	The admin resources required for this to be actioned will be picked up under the restructure which is still ongoing.
Electoral Registration (2022/23 Audit)				

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<p>An (updated) risk assessment for canvassers should be performed and recorded on AssessNet before the next round of door-to-door canvassing is undertaken.</p>	<p>Original: A new risk assessment will be completed for the personal canvassers carrying out the door knocking canvass ahead of the Canvass in 2023. As part this we will explore the potential of the staff alert list as set out within the advisory note.</p> <p>Update: Unfortunately I (the new Electoral Services Manager) knew nothing about this as it was not added to my radar when I started. I currently do not have access to AssessNet nor have I been trained on any risk assessment work. I have asked to have access to the system so I can have a look and then the Head of Governance has offered to train me. It was hoped that the canvass would start on 25 July although this may be delayed until the new contract with the printers is in place, although the canvassers will not be employed until the end of September at the earliest.</p>	<p>August 2023 (Previous Target Date of June 2023)</p>	<p>Not applicable.</p>	<p>I (the new Electoral Services Manager) can confirm I have created a risk assessment for canvasser visits on AssessNet and this .will be reviewed annually.</p>

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Treasury Management (2022/23 Audit)				
<p>The Treasury Management Practice documents should be reviewed to ensure that they are complete and up to date.</p>	<p>Original: The TMPs will be reviewed as soon as time permits.</p> <p>Update: These have been significantly re-written but need the S151 Officer to review a number of points. Once comments have been received, time will be needed to amend the documents accordingly.</p>	<p>Q2 (September 2023) (Previous Target Date of March 2023).</p>	<p>Yes – revised to December 2023.</p>	<p>The Strategic Finance Manager and the Principal Accountant will arrange a meeting with the Head of Finance soon about the updated Treasury Management Practices drawn up in February, as he needs to agree what the S151 Officer’s responsibilities are which were based on the CIPFA recommendations. It’s never quite got to the top of priorities give the external audit situation, change of Council, etc.!</p>