

**Summary of Recommendations and Management Responses from Internal Audit Reports
issued Quarter 4, 2023/24**

Report Reference	Recommendation	Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Aids and Adaptations – 23 January 2024				
4.2.1	Review the Active H system with the Application Support team to ascertain whether the automated updates to the Attributes field from the orders can be restored.	Low	Compliance Manager & Business Development and Change Officer	The system will be reviewed to ascertain whether this link can be restored. TID: July 2024
4.2.2	The use of the Ian Williams contract for non-Bathroom aids and adaptations should be discussed with the Procurement team to ascertain whether it is appropriate.	Low	Head of Neighbourhood and Assets	This will be discussed with the Procurement Team. TID: February 2024
4.3.1	An Aids and Adaptations Policy and operational procedures should be drawn up, setting out how the Council meets the requirements of legislation	Medium	Landlord Operations Manager &	A policy will be drafted and consulted upon with relevant stakeholders. TID: January 2025

¹ The ratings refer to how the recommendation affects the overall risk and 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.

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	and how the needs of the tenants are to be met.		Building Surveyor Team Leader	
4.4.1	The measure in the SAP should be amended to monitor the time taken from the receipt of the referral to the completion of the works to provide a fuller picture of the process once the Council becomes responsible for works required.	Low	Compliance Manager, Business Development and Change Manager & Business Development and Change Officer	The relevant end to end measure will be included in the Service Area Plans for each service area, ensuring that the relevant data is captured following confirmation of the relevant targets from HEART. TID: April 2024
Community Infrastructure Levy and Section 106 Agreements – 14 February 2024				
4.2.4	Staff should be reminded to check and verify s106 contribution calculations and upload evidence of these to the network files.	Low	Development Manager; Planning Policy Officers.	Agreed. TID: 31 March 2024
4.5.2	Officers should remind the Legal team drafting the s106 agreements to include the instalments to be paid.	Low	Planning Policy & Major Sites Delivery Manager; Development Monitoring Officer.	Agreed. TID: 31 March 2024
Events Management – 9 April 2024				

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4.2.1	Staff should be reminded to check market calculations for accuracy before raising invoices.	Low	Business Support & Events Manager	Agreed. TID: April 2024
4.2.2	Any cash to be sent to charity should be signed by both the collecting officer and the authorising officer.	Low	Events Officers; Business Support & Events Manager	Cash handling only occurs at the Christmas light switch on events, this will be implemented then. TID: November 2024
4.2.3	Staff should be checking their events monitoring spreadsheet to ensure that charges are reflective of the fees and charges set.	Medium	Events Officers; Business Support & Events Manager	Agreed. TID: April 2024
4.2.3	Bonds should be taken up front as part of every event and only refunded where no damage has occurred.	Medium	Events Officers; Business Support & Events Manager	There are some issues with event bonds that require some more work to resolve. The team is concerned that the high bond charges may cause some events to cancel, as the organisers do not have the funds to cover the bond. It is also late in the planning stage for many events this Spring/Summer to be charged extra. Looking to implement this in Autumn 2024 to give a reasonable amount of warning to event's organisers. TID: October 2024
4.3.1	Contract KPIs should be formally monitored.	Medium	Business Support & Events Manager	Agreed. TID: September 2024

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4.3.1	BCP's from contractors should be provided on a yearly basis.	Low	Business Support & Events Manager	Agreed. TID: September 2024
4.3.2	A list should be compiled of areas in which WDC can give permission to film and those areas which require permission from WCC.	Low	Events Officers; Business Support & Events Manager	Agreed to implement. TID: October 2024
4.3.3	Insurance should be thoroughly checked to ensure that the date is valid to cover the event. In cases where it is out of date, an updated insurance certificate should be requested.	Medium	Events Officers	Agreed. TID: May 2024
4.3.4	All funfair organisers should provide either method statements or ride risk assessments in advance of events.	Medium	Events Officers	Agreed. TID: October 2024
4.4.3	A formal events strategy should be documented which includes a policy on the types of promotional/marketing stands permitted.	Low	Business Support & Events Manager	Agree that this is a good idea. TID: March 2025
4.5.1	Events Officers should be reminded that the CCTV team need to be made aware of all events in advance.	Low	Business Support & Events Manager	Agreed. TID: May 2024

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4.6.1	Where relevant, Event Officers should liaise with those with the appropriate expertise in the Licensing team to ascertain that event organisers have up-to-date DBS checks in place.	Low	Events Officers	Agreed. TID: May 2024

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Houses in Multiple Occupation – 16 April 2024				
No recommendations arising on this occasion.				
Housing Benefit & Council Tax Reduction – 16 January 2024				
4.2.1	Management reviews should be regularly performed on the benefit assessment process to ensure compliance with the MoU.	Medium	Systems Officer; Benefits and Customer Services Manager	Compliance checks will be recorded when each new CIVICA release/patch is installed. Compliance checks will be recorded for any change of process. TID: Ongoing
4.2.1	All signatures should be provided on the MoU.	Low	Benefits and Customer Services Manager	The new MoU is shortly due to be issued. The Benefits and Customer Services Manager will ensure all signatures are provided. TID: 30 April 2024
4.2.1	Staff should be asked to declare, annually, that they have read and understood the terms and conditions laid out in the register.	Low	Benefit Team Leaders; Benefits and Customer Services Manager	A training document has been produced. This will be issued to all staff, and we will use meta compliance to confirm that staff have read and understood the conditions. TID: 31 January 2024 (and annually thereafter)
4.3.2	In line with the MoU, yearly refresher training should be conducted on data protection and responding to data breaches.	Low	Benefit Team Leaders; Benefits and Customer Services Manager	A training document has been produced. This will be issued to all staff, and we will use meta compliance to confirm that

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				staff have read and understood the conditions. TID: 31 January 2024 (and annually thereafter)
4.3.2	The EAS spreadsheet needs updating as this refers to officers who either no longer work for the organisation or officers who have transferred to other service areas.	Medium	Benefit Team Leaders	The up-to-date version had been saved on a desktop and had not, therefore, been made available for the audit. This has been addressed and staff have been advised not to save items locally. TID: Completed at the time of the final report
4.3.3	A test system, containing anonymous or synthetic data, should be used to test and update information before being released in the live system.	Medium	Benefits and Customer Services Manager; Exchequer Manager	Please see response from DWP regarding the issues with having a test system with synthetic data. Access to the test system is currently controlled to the same level as the live system. TID: 31 May 2024
4.3.3	An assessment should be carried out, ensuring that use of cryptography meets Government Security Standards, in line with the requirements of the MoU.	Low	Head of Customer & Digital Services	An assessment will be completed. TID: 31 May 2024

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4.4.2	Yearly refresher training on Searchlight data should be given to Benefits staff, as outlined in MoU.	Low	Benefit Team Leaders; Benefits and Customer Services Manager	A training document has been produced. This will be issued to all staff, and we will use meta compliance to confirm that staff have read and understood the conditions. TID: 31 January 2024 (and annually thereafter)
4.4.3	All members of the Benefits team should read the MoU and sign a declaration form to acknowledge that they understand their role and responsibilities. This should be done on a yearly basis, in line with the MoU updates.	Low	Benefit Team Leaders; Benefits and Customer Services Manager	The MOU contains information that is not relevant to all staff. There is a risk that in giving them the full MoU to read, emphasis on the relevant areas will be lost. Therefore, a training document has been produced. This will be issued to all staff, and we will use meta compliance to confirm that staff have read and understood the conditions. TID: 31 January 2024 (and annually thereafter)
4.4.3	Reminders relating to the confidentiality of information obtained through the DWP should be regularly issued to the benefits team.	Low	Benefit Team Leaders; Benefits and Customer Services Manager	A training document has been produced. This will be issued to all staff, and we will use meta compliance to confirm that staff have read and understood the conditions. Confidentiality will also be put on the team meeting agendas. TID: 31 January 2024 (and annually thereafter)

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Housing Rent Collection – 30 January 2024				
4.2.2	Staff should be reminded to issue quarterly rent statements in arrears cases, if this cannot be done automatically through Active H.	Low	Landlord Operations Manager	To be included on next team meeting agenda. TID: End of February 2024
4.3.1	The Friday and Monday Process procedure notes should be updated to reflect job posts as opposed to officer names, as these refer to officers who no longer work for the organisation or who have transferred roles.	Low	Business Support Manager	Procedure to be reviewed and updated. TID: Completed at the time of the final report

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4.4.2	Staff should be reminded to dispose of tenant data in line with specified timeframes.	Low	Business Development & Change Officer	This is an area of ongoing development. A retention period for the DMS has been agreed with the various Housing teams. The Business Development and Change Officer is working with IT to build a framework which can be applied to these retention rules and run automatically. Currently, there is no practice to delete, redact or anonymise data in Active H. There are, however, possibilities to introduce data disposal methods which could run automatically on a nominated schedule. This is something that the BD&C Team would be looking to progress in 2024/25. TID: August 2024
4.4.4	Staff should be advised to issue broken agreement letters, where relevant.	Medium	Landlord Operations Manager	To be included on next team meeting agenda. TID: End of February 2024
4.4.4	Staff should complete income and expenditure forms where tenants have failed to uphold payment agreements due to financial difficulties.	Medium	Landlord Operations Manager	To be included on next team meeting agenda. TID: End of February 2024

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4.4.4	Payment agreements should be confirmed in writing to tenants via text or email from the communications module on RentSense.	Medium	Landlord Operations Manager	To be included on next team meeting agenda. TID: End of February 2024
ICT Strategies and Policies – 1 May 2024				
4.2.3	The detail behind the current Digital Strategy and any sub-strategies required should be drawn up as soon as practicable to support the current change programme, with reference being made to how they align with the Corporate Strategy Warwick District 2030.	Medium	Head of Customer and Digital Services	Work is underway to develop the content of the Digital Strategy objectives based on the one-page digital strategy outlined as part of the Change Programme. These will be published and made available to staff as soon as possible and identify how they align to both the change programme and the Council's wider corporate objectives. TID: 31 July 2024
4.3.2	A rolling programme of policy reviews should be implemented, including a review of whether annual reviews are actually required for each policy.	High	Head of Customer and Digital Services	Work toward a rolling programme to review all ICT Policies was underway at the time the audit was undertaken and will be actioned over the next twelve months. Priority will be given to user facing policies or those which are identified as being deficient through other forthcoming audit reviews.

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				Please note, there are a lot of ICT policies which require review and as such, the target date for completion has been set to provide a realistic timeframe when considering the services other ongoing commitments and workload. TID: 1 May 2025
4.4.2	It should be ensured that the new strategy is published as a distinct document on the internet and intranet.	Low	Head of Customer and Digital Services	Revised materials will be published accordingly and consideration can also be given as to the most appropriate way of communicating the strategy, alongside the wider change programme. Target date set to match the outcomes identified in recommendation 4.2.3. TID: 31 July 2024
Leisure and Recreation Facilities – 22 April 2024				
4.2.2	Business Administration Officers should include the breakdown of charges on all invoices, including any discounts awarded, to ensure that all fees charged are correct.	Low	Sports Assistant	Officer is aware; however, there is only one discounted fee authorised by the Portfolio Holder and an audit trail is available. TID: April 2024

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4.4.3	The LDP roles and responsibilities should be updated in light of staffing changes.	Low	Programme Manager	Much more detailed information sheets about each project are being compiled. This will be completed in conjunction with the new deputy Programme Manager, who is scheduled to start in May. TID: End of May 2024
4.6.3	The risk assessment relating to the Poplar trees at the Edmondscote athletics track should be reviewed and updated where appropriate.	Low	Sports & Leisure Contract Officer	Officer will update Assessnet in due course. Works are still ongoing with the trees. TID: September 2024
4.6.3	A) fire risk assessments should be completed by the Assets team in line with the specified timescales. B) the Sports & Leisure team should be ensuring that these risk assessments are completed.	Medium	Sports & Leisure Contract Officer; Sports Assistants.	Actions will be completed under our control. Other actions raised with the Assets team will be regularly chased and audit trails made available. Sports & Leisure Contract Officer to liaise with Health & Safety and Premises Manager as the Assessnet system is proving problematic in actioning tasks. TID: July 2024
4.6.4	A) compliance works should be completed by the Assets team. B) the Sports & Leisure team need to ensure that these compliance works have been completed and update the compliance spreadsheet accordingly.	Medium	Sports & Leisure Contract Officer; Sports Assistants.	All actions under the Sports & Leisure Team's control have been completed; other items are the responsibility of the Assets team, who are being regularly communicated with; audit trails are available. Sports & Leisure Contract

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				Officer to liaise with Health & Safety and Premises Manager as the Assessnet system is proving problematic in actioning tasks. TID: July 2024
4.6.4	Staff should be reminded to file monthly and weekly inspections, where necessary.	Low	Sports Assistants	Inspections had been completed but were not filed correctly. Admin procedures will be addressed. TID: August 2024
4.6.4	IDVERDE should be reminded of their contractual obligation to inspect the football pitches on a regular basis.	Medium	Contract Operations and Performance Officer	Sports Team will liaise Contract Services. TID: September 2024
4.6.5	Officers should be conducting separate pavilion inspection tests and recording these under the correct folder.	Medium	Assets Team	Assets to provide reporting evidence; Sports & Leisure team to pursue. TID: May 2024
4.7.1	Prompt action should be taken regarding the acquisition of more bowls attendants, whether this be through an external procurement/consultancy exercise or by training up extra IDVERDE/WDC staff.	Medium	Contract Services	After a successful growth bid, job adverts are out for four new employees. IDVERDE are being closely monitored in the meantime. Sports & Leisure Contract Manager and Neighbourhood Services Manager to monitor. TID: April 2024

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National Non-Domestic Rates – 26 March 2024				
4.7.2 (a)	Review the identified refunds to ascertain whether interest payments need to be made.	Low	Revenues and Recovery Manager	<p>The three identified were looked at and interest was refunded in two of the three cases.</p> <p>In the other case, the overpayment was not due to the change in rateable value, so no interest was due.</p> <p>TID: Completed at the time of the final report</p>
4.7.2 (b)	Remind staff of the need to check whether interest payments are due when processing refunds.	Low	Revenues and Recovery Manager	<p>Schedules have been moved now to ones where the Team Leader and senior officer are in, so they can be checked straight away before any interest is or is not awarded.</p> <p>We will also cover the criteria again with staff and some notes have been produced with scenarios to help them decide if interest is paid or not.</p> <p>TID: Completed at the time of the final report</p>

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System Ownership and Management – 29 January 2024				
4.2.1	A review of all IT system owners and reaffirmation of their roles and responsibilities should be performed annually.	Medium	Application Support Team Leader	System Owner review tasks will be revisited and brought up to date. This will be done on a month-by-month basis for our business applications. Thus, spreading the reviews out over the year to ensure they don't all fall at the same time. TID: Ongoing
4.2.1	The priority level of IT business applications should be reviewed.	Medium	Application Support Team Leader	Old priority recovery list will be reviewed and brought up to date. Will also published in a more accessible place. TID: April 2024
4.2.3	The HR distribution list for starters, leavers and movers should be reviewed to ensure it includes service areas / teams of all key IT business applications.	Low	Application Support Team Leader	Will review current list and liaise with HR to amend where appropriate. Notifications to key services areas when people start, leave or change roles has also been covered in the Identity and Access Management Policy that was approved by SLT. TID: April 2024

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4.2.4	An IT working group containing Digital Services and service area IT representatives should be established.	Medium	Head of Customer & Digital Services	The formation of an ICT Steering Group will be discussed with the Senior Leadership Team in March for implementation during April 24. TID: May 2024
Tech One (Finance IT Application) - 10 January 2024				
4.2.1	All key issues reported by users should be logged. The log should include the date it was reported, name of user, description of issue, resolution and date resolved.	Low	Systems Officer	A log is now in place. TID: Completed at the time of the final report
4.2.2	Change control procedures should be documented detailing the process for making changes to the system. The procedures should clearly outline the type of changes subject to the procedure, any exceptions, testing requirements and signoffs.	Low	Systems Officer	Change control procedures are now in place. TID: Completed at the time of the final report
4.2.2	The disaster recovery plan for the system should be confirmed, including the recovery time objective and details of when it was last tested.	Medium	Principal Accountant (Systems)	The disaster recovery plan will be confirmed with Technology One. The Principal Accountant (Systems) will liaise with ICT colleagues to establish how to use the Council's cloud security questionnaire to address this. TID: End of January 2024

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4.3.1	Confirmation should be sought on what backups are taken, including frequency, retention, testing, recovery point objective and storage of backup copies. Storage should include an offline copy for protection against ransomware attacks.	Medium	Principal Accountant (Systems)	The backup processes will be confirmed with Technology One. The Principal Accountant (Systems) will liaise with ICT colleagues to establish how to use the Council's cloud security questionnaire to address this. TID: End of January 2024
4.4.1	Further details on the operation of the audit logging system should be confirmed with the supplier.	Low	Principal Accountant (Systems)	The configuration of audit logging reports will be confirmed with Technology One. The Principal Accountant (Systems) will liaise with ICT colleagues to establish how to use the Council's cloud security questionnaire to address this. TID: End of January 2024
4.5.1	The new password policy being proposed should be implemented, apart from the expiry period which should be re-considered.	Medium	Head of Customer and Digital Services	The revised password policy will be sent to SLT for approval and implementation by 02/02/2024. The policy will then be applied to all users of T1 via the Council's single authentication mechanism. Feedback regarding password change frequency will be noted for discussion with SLT accordingly. TID: 2 February 2024
4.5.2	The following should be undertaken:	Medium		

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	<ul style="list-style-type: none"> • A risk be added to the Finance risk register for the way access profiles are setup. • Key / sensitive functions, such as changes to supplier bank details, be limited to designated users. • An annual documented review of Finance user access be performed. 		<p>Head of Finance and Audit and Risk Manager</p> <p>Systems Officer</p> <p>Principal Accountant (Systems) and Systems Officer</p>	<p>This will be flagged to be considered as part of the next review of the Finance risk register. TID: End of March 2024</p> <p>This has been completed. TID: Completed at the time of the final report</p> <p>An email will be sent to the relevant Finance section heads on an annual basis to confirm that users with the Finance profile still require this level of access. TID: End of March 2024</p>
Website Management – 17 January 2024				
4.2.1.	The Website Accessibility Policy should be reviewed and updated where necessary, as this has not been performed since September 2020.	Medium	Website Service Manager	Website to be audited by an external company in January 2024. The Accessibility Policy will be updated with the findings. TID: March 2024
4.2.1.	The link to the Government Digital Services training exercise no longer works and therefore should either be removed or updated on the Intranet.	Low	Website Service Manager	Will fix or replace with suitable link. TID: Completed at the time of the final report

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4.2.1.	Web authors should be reminded to make sentences twenty-five words or less, where possible.	Low	Website Service Manager	Communications to be sent to all website authors by email and also added to the intranet guidance. TID: End of January 2024
4.2.1.	Staff should be reminded to check hyperlinks, as several links were found to be broken on the website.	Low	Website Service Manager	Checking and fixing links via the Monsido checker to be carried out more often to fix broken links. Communications sent to web authors with information about how to check for broken links and a reminder to keep their pages up to date. TID: End of January 2024
4.2.1.	Staff should be reminded to check the readability score of their content and edit content where appropriate.	Low	Website Service Manager	Review of hard to read pages using the Monsido software and sending results to teams for review. Reminder included in an email to website authors. TID: March 2024
4.3.1	The Accessibility Statement should be updated, as this has not been reviewed since 3 March 2022 and still refers to 2022 deadlines.	Low	Website Service Manager	Website to be audited by an external company in Jan 2024. Accessibility Statement will be updated with the findings. TID: March 2024
4.4.4	A discussion regarding the contract spending limit should be held with the Procurement team.	Medium	Website Service Manager	To review budgets and spending and discuss with Procurement. TID: March 2024
Corporate Governance (Staff Working Groups) – 31 March 2024				

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4.2	Terms of Reference should be drawn up where they are not currently in place and, where they are in place, they should be reviewed to ensure that they remain relevant. All Terms of Reference should then be agreed by members at the next meetings of the groups.	High	Workforce Steering Group	<p>Suggestion that not only should the Terms of Reference be completed for each group, but we should adopt a standard format for them.</p> <p>For example, each should include details of the groups purpose and objectives, key roles, general membership, reporting lines, meeting frequency and administration and, standards and behaviours (including how decisions are made).</p> <p>The Workforce Steering Group Terms of Reference has all of this information which we will consider to adapt as a template.</p> <p>TID: End of December 2024</p>
4.3	Meetings of the groups should be formally timetabled to allow for any issues to be reported up to the 'senior' group as appropriate.	Medium	Workforce Steering Group	<p>If the group hasn't met for some time, this frequency will be reviewed and updated accordingly in the revised Terms of Reference. The timescales will be representative of previous interactions.</p> <p>TID: End of December 2024</p>

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4.4 (a)	The issues identified regarding gaps in membership and over-representation on certain groups should be addressed.	Medium	Workforce Steering Group	This is something that can be remedied through administrative updates with the lead Officers and consideration of the group membership (if required). TID: End of December 2024
4.4 (b)	The intranet page for the Health and Safety Committee should be updated to reflect the current membership of the group so that staff know who represents their service area.	Low	Workforce Steering Group	This is something easily remedied through administrative updates with the lead Officers. TID: End of December 2024
4.4 (c)	The need for the attendance of substitutes should be reviewed for each group, with the Terms of Reference being updated to reflect the agreed position.	Low	Workforce Steering Group	This is something that can be remedied through administrative updates with the lead Officers and consideration of the group membership (if required). TID: End of December 2024
4.4 (d)	The group membership of the identified officers should be reviewed.	Low	Workforce Steering Group	This is something that can be remedied through administrative updates with the lead Officers and consideration of the group membership (if required). TID: End of December 2024
4.5 (a)	Minutes should be formally taken for each group and should be published on the intranet where appropriate.	High	Workforce Steering Group	We will review a possible standard format. TID: End of December 2024

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4.5 (b)	It should be ensured that reporting lines are appropriate and reports are being submitted and considered where relevant, with this being minuted appropriately.	Medium	Workforce Steering Group	This is something that can be remedied through administrative updates with the lead Officers (if required). TID: End of December 2024
4.6	It should be ensured that future agendas / minutes for all groups include sections for feedback on the progress against agreed actions.	Medium	Workforce Steering Group	To consider the SLT format where actions recorded on the intranet persist beyond the minutes of the last meeting. TID: End of December 2024
Information Governance – 23 May 2024				
4.2.1	The Information Security Incident Management Policy should be reviewed and updated, as appropriate.	Low	Information Governance Manager	This is accepted and the plan for the new Information Governance Team is to review and update all policies across both Council's. This review will be undertaken once the new IG Manager is in post and has evaluated the current position of each Council alongside the requirements of the implementation of the Data Protection and Digital Information Bill. TID: 31 March 2025

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4.3.1 (a)	The Data Protection and Privacy Policy should be reviewed and updated, where appropriate.	Low	Information Governance Manager	This is accepted and the plan for the new Information Governance Team is to review and update all policies across both Council's. This review will be undertaken once the new IG Manager is in post and has evaluated the current position of each Council alongside the requirements of the implementation of the Data Protection and Digital Information Bill. TID: 31 March 2025
4.3.1 (b)	The Information Security and Conduct Policy should be reviewed and updated, as appropriate.	Low	Information Governance Manager	This is accepted and the plan for the new Information Governance Team is to review and update all policies across both Council's. This review will be undertaken once the new IG Manager is in post and has evaluated the current position of each Council alongside the requirements of the implementation of the Data Protection and Digital Information Bill. TID: 31 March 2025
4.3.1 (c)	Following the office relocation, data policies and procedures should be updated to reflect new working environments, and these should be disseminated to all staff.	Medium	Information Governance Manager	This is accepted and the plan for the new Information Governance Team is to review and update all policies across both Council's. This review will be undertaken once the new IG Manager is in post and has evaluated the current position of each Council alongside the requirements

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				of the implementation of the Data Protection and Digital Information Bill. TID: 31 March 2025
4.3.1 (d)	Guidance needs to be disseminated to staff reiterating the Email Acceptable Usage Policy and highlight that the forwarding of work emails to personal email addresses, or vice versa, is strongly discouraged.	Low	Information Governance Manager	This is accepted and the plan for the new Information Governance Team is to review and update all policies across both Council's. This review will be undertaken once the new IG Manager is in post and has evaluated the current position of each Council alongside the requirements of the implementation of the Data Protection and Digital Information Bill. TID: 31 March 2025
4.4.1 (a)	Guidance should be issued to staff around listening devices and the risks that these introduce to data protection when working from home.	Low	Information Governance Manager	This is accepted and the plan for the new Information Governance Team is to review and update all policies across both Council's. This review will be undertaken once the new IG Manager is in post and has evaluated the current position of each Council alongside the requirements of the implementation of the Data Protection and Digital Information Bill. TID: 31 March 2025
4.4.1 (b)	Guidance should be disseminated to both staff and Members reiterating	Low	Information Governance Manager	This is accepted and the plan for the new Information Governance Team is to review and update all policies across both Council's. This review will be undertaken

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	that printing from home is not permitted.			once the new IG Manager is in post and has evaluated the current position of each Council alongside the requirements of the implementation of the Data Protection and Digital Information Bill. TID: 31 March 2025
4.4.1 (c)	The Data Handling Policy should be reviewed and updated, as appropriate.	Low	Information Governance Manager	This is accepted and the plan for the new Information Governance Team is to review and update all policies across both Council's. This review will be undertaken once the new IG Manager is in post and has evaluated the current position of each Council alongside the requirements of the implementation of the Data Protection and Digital Information Bill. TID: 31 March 2025
4.4.1 (d)	The Remote Working policy should be updated to reflect the new Agile Working Policy.	Low	Information Governance Manager	This is accepted and the plan for the new Information Governance Team is to review and update all policies across both Council's. This review will be undertaken once the new IG Manager is in post and has evaluated the current position of each Council alongside the requirements of the implementation of the Data Protection and Digital Information Bill. TID: 31 March 2025

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4.4.1 (e)	Managers should be reminded to inform their teams where data is stored and located.	Low	Head of Governance	Request to all managers via email can be sent for them to brief and explain to their teams. TID: 31 July 2024
4.5.1 (a)	The Physical Environment Security Policy should be updated to reflect the move to the new offices.	Low	Information Governance Manager	This is accepted and the plan for the new Information Governance Team is to review and update all policies across both Council's. This review will be undertaken once the new IG Manager is in post and has evaluated the current position of each Council alongside the requirements of the implementation of the Data Protection and Digital Information Bill. TID: 31 March 2025
4.5.1 (b)	Staff working at S1 should be reminded to close blinds at the end of the working day.	Medium	Facilities Manager	This will be included in the 'five things you need to know' email distributed to all staff. TID: 7 June 2024
4.6.1 (a)	The Town Hall operating procedure should be updated to reflect the clear-desk policy and use of headsets in the office.	Low	Facilities Manager	The Head of Assets to liaise with the Facilities Manager on this. TID: 31 July 2024

Report Reference	Recommendation	Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.6.1 (b)	Staff should be reminded of the clear-desk policy. If staff are working at S1 on a continuous basis, laptops need to either be taken home or kept in a securely locked location. Staff also need to be made aware of who to report issues to or the actions to take if belongings are identified on desks.	Medium	Facilities Manager	This will be included in the 'five things you need to know' email distributed to all staff. TID: 7 June 2024
4.6.1 (c)	The Data Protection Officer contact details should either be removed or updated.	Medium	Head of Governance	Agreed. TID: 7 June 2024
Loans to External Organisations – 28 March 2024				
4.2.1 (a)	A standard application form should be drawn up for loans to be provided and should be completed for all future loans.	Low	Head of Finance / Grant and Loans Manager	An application form will be drawn up to be used for future loan applications. TID: October 2024
4.2.1 (b)	Copies of the credit checks performed should be retained to support the loans being provided.	Low	Grant and Loans Manager	The Grant and Loans Manager to request copies of credit reports for future applications to be retained alongside other loan specific documentation. TID: June 2024

Report Reference	Recommendation	Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.2.1 (c)	It should be ensured that the Grant and Loans Manager is made aware of all loans being set up and is provided with all relevant documentation so that he can manage the loans appropriately.	Medium	Head of Finance / Grant and Loans Manager	The Head of Finance to provide copies of approved reports along with relevant supporting documentation so that they can be managed. TID: June 2024
4.2.3	The payment schedule for the Newbold Comyn Arms loan should be amended to ensure that future invoices are raised against the correct code and that the income received to date is journalled to the correct code.	Low	Grant and Loans Manager	The repayment schedule has now been amended to show the correct code, the invoice for 2024/25 has been coded to the correct code and a journal has been processed to correct the 2023/24 miscoding. TID: Completed at the time of the final report
4.6.1	The Loans Policy should be reviewed and amended as appropriate, with the inclusion of a version control 'matrix' and a required review frequency being stated.	Medium	Head of Finance	Loans policy to be reviewed alongside the Treasury Management Strategy on an annual basis. TID: March 2025
Fire Safety and Prevention Contracts – 28 May 2024				
4.2.1	Monthly cost figures should be provided and reviewed against budget to ensure that the overall cost and budget are still in line with the agreed prices.	Medium	Head of Housing	Agreed. Cost monitoring against the budget will be undertaken. TID: December 2024

Report Reference	Recommendation	Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.2.2 (a)	The ongoing contract situation should be resolved as soon as possible to ensure that these high-profile works are completed in a timely manner, with the contracts reflecting the agreed ways of working going forward and compliance with relevant regulations.	High	Head of Housing and Head of Neighbourhood and Assets	Agreed. The contract situation will be resolved as soon as possible in line with the Gateway process approval by the Building Safety Regulator and applicable procurement legislation. It will be ensured that the new contracts take due regard of issues such as competencies required, liquidated damages, agreement of contract variations, review of works, invoicing and insurance. TID: December 2024
4.2.2 (b)	It should be ensured that appropriate KPIs are included in all relevant contracts let in the future.	Medium	Head of Housing and Head of Neighbourhood and Assets	Agreed. Appropriate KPIs will be included in future contracts. TID: December 2024
4.3.1 (a)	It should be ensured that all relevant properties have had a fire risk assessment performed.	High	Head of Housing and Head of Neighbourhood and Assets	Agreed. It will be ensured that FRAs will be performed for all relevant properties. TID: December 2024

Report Reference	Recommendation	Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.3.1 (b)	It should be ensured that all actions identified on the FRAs performed are recorded on the actions spreadsheet to ensure works are performed as required.	High	Head of Housing and Head of Neighbourhood and Assets	<p>The main record for these works should move to Active H as opposed to the individual spreadsheets so that all staff are able to access and amend the 'master' records.</p> <p>All works to be performed, as agreed following the assessment of the FRAs by internal (qualified) staff will be recorded on the system with works orders raised as appropriate.</p> <p>However, until this complete record is available on Active H, the spreadsheet will be maintained.</p> <p>TID: December 2024</p>
4.6.1 (a)	It should be ensured that the actions spreadsheet includes actions identified from the most recent assessments performed.	High	Head of Housing and Head of Neighbourhood and Assets	<p>As per 4.3.1(b) above, the main record for the FRA actions will move to Active H, so it will be ensured that all works required in relation to the agreed actions will be recorded on the system (including any outstanding from previous FRAs which are not technically 'out of date').</p> <p>However, until that time, the spreadsheet will be maintained as required.</p> <p>TID: December 2024</p>

Report Reference	Recommendation	Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.6.1 (b)	The Fire Strategy (incorporating the Council's process for agreeing the prioritisation of actions identified within the FRAs) should be completed and agreed by all applicable parties, with all suggested works subsequently being assessed, prioritised and programmed in line with this strategy.	Medium	Head of Housing and Head of Neighbourhood and Assets	Agreed. The Policy and Strategy are currently going through a review to ensure that they reflect the correct processes. TID: December 2024
4.6.2	It should be ensured that contractors performing fire risk assessments coordinate their visits with appropriate members of Council staff or they are provided with keys and all applicable drawings and associated documentation so that they can access all relevant parts of the buildings to enable 'complete' assessments to be undertaken.	Medium	Head of Neighbourhood and Assets and Head of Housing	Agreed. It will be ensured that visits are appropriately coordinated. TID: December 2024
4.7.4	Ensure that the Building Safety Lead and the (new) Fire Safety Lead are provided with all relevant information before the Principal Building Surveyor leaves his post.	Medium	Building Safety Lead and Fire Safety Lead	An appropriate handover process was followed prior to the departure of the Principal Building Surveyor. TID: Completed at the time of the final report