

**SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS**  
**ISSUED QUARTER 2, 2010/11**

<b>Report Reference</b>	<b>Recommendation</b>	<b>Risk Rating<sup>1</sup></b>	<b>Responsible Officer</b>	<b>Management Response and Target Implementation Date</b>
<b>Electoral Registration – 28 September 2010</b>				
4.1.5	A formally documented agreement should be put in place with FCS.	Low	Electoral Services Manager	Agreed. The Electoral Services Manager will liaise with the Procurement Manager. January 2011.
4.4.5	File notes should be produced to support receipts where insufficient information is held (i.e. not a formally documented request) or where receipts have not been provided / retained.	Low	Electoral Services Manager	Agreed. The office procedures will be updated in conjunction with the Electoral Administrator. Immediate.
4.4.7	Records should be maintained to support the setting of fees payable to canvassers.	Low	Electoral Services Manager	Agreed. The office procedures will be updated in conjunction with the Electoral Administrator in time for the next canvass. October 2011.

<sup>1</sup> Risk Ratings are defined as follows:

- Low - Minimal adverse impact on achievement of the Authority's objectives if not adequately addressed.
- Medium - Moderate adverse impact on achievement of the Authority's objectives if not adequately addressed.
- High - Requires urgent attention with major adverse impact on achievement of Authority's objectives if not adequately addressed.

Report Reference	Recommendation	Risk Rating <sup>1</sup>	Responsible Officer	Management Response and Target Implementation Date
Local Land Charges – 15 September 2010				
4.2.3	The expected income level included in the budget for future years should be reviewed to ensure that it reflects current income levels.	Medium	Head of Development Services	The recommendations are accepted. The actual responsibility for undertaking these actions will be devolved to another staff member once the Land Charges team has been integrated into Development Services and the structure has been decided (regarding line management for the team) and the service has completed its Lean Systems project.
4.4.3	A review of the risks recorded in respect of Land Charges should be performed to ensure that all relevant risks are included on the registers within the correct service area.	Low	Head of Development Services	
Housing & Property Services Contracts – 17 August 2010				
4.2(a)	Ensure that the Procurement Plan takes account of all areas that do not currently have a formal contract in place (as per Appendices A & D).	High	Housing & Property Services Management Team	A formal procurement plan is now in place that takes account of all of the relevant contracts. Completed.
4.2(b)	A review should be undertaken in six months to ascertain whether any further 'non-contract' expenditure is committed to the companies identified in Appendix B (specifically those companies that are highlighted within the appendix where works should have been undertaken under an existing contract).	Medium	Property Manager	Agreed. A review of payments will be undertaken. April 2011.

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4.2(c)	The Procurement team should be consulted regarding the need for contract / agreement to be entered into for use of bed and breakfast establishments.	Low	Housing Strategy Manager	Agreed. Procurement staff will be consulted. April 2011.
4.2(d)	The Argos agreement should be reviewed with the possibility of testing the market for other providers being looked into with the Procurement team.	Low	Repairs Manager	Agreed. The agreement will be reviewed. April 2011.
4.3(a)	Ensure that formally signed contracts are obtained for all future contracts, with the relevant level of authorised signatory being obtained in future (as per the report to SMT on 28 July 2010).	High	Head of Housing & Property Services	Agreed. New contracts, let in accordance with the Procurement Plan, will be signed as appropriate. Ongoing.
4.3(b)	Ensure that formal performance monitoring is undertaken for all relevant contracts, with regular contractor meetings being held and documented as appropriate.	Medium	Housing & Property Services Management Team	Agreed. Formal performance monitoring will be undertaken for all relevant contracts. Ongoing.
4.3(c)	Ensure that Procurement staff are consulted and are involved at all relevant stages for future procurement exercises.	High	Housing & Property Services Management Team	Agreed. Procurement staff will be involved in all stages of the letting of future contracts. Ongoing.

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4.3(d)	Ensure that all relevant documentation from all stages of the procurement process is retained, with consideration being given to maintaining a central repository for all documentation (either electronic or paper based).	Medium	Housing & Property Services Management Team	Agreed. This should be made easier as a move is made towards e-tendering. Ongoing.
<b>Community Leisure Facilities – 19 August 2010</b>				
4.3.6	The regular bookings for Lillington Community Centre should be placed on a formal basis and terms and conditions of hire made clear.	Medium	Centre Manager (IR)	Booking forms to be completed by users – manager to design one and send out. September 2010
4.3.6	Evidence of all necessary registration and qualifications, etc, should be obtained for the playgroup using Lillington Community Centre.	Medium	Centre Manager (IR)	This will be done with the booking forms – see above. September 2010
4.3.6	Whenever a booking is agreed with an organisation providing coaching or tuition, evidence of current, relevant insurance should be obtained.	Medium	Centre Managers	Most clubs, organisations and individuals that provide coaching or similar activities provide this as standard. No booking confirmation will be sent out where this is not the case. Completed & Ongoing
4.4.2	An inventory of equipment held at Sydenham Sports Centre should be prepared. A copy should be forwarded to the Council's Insurance Officer.	Medium	Centre Manager (IR)	Inventory completed – sent to insurance officer. Completed – August 2010

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4.5.3	Staff should be reminded of the need to sign in and out and managers should monitor the situation.	Low	Centre Managers	Staff at John Atkinson Sports Centre will be reminded to sign in and out on the daily sheets. Completed & Ongoing
4.7.7	All of the agreements between Warwick District Council and the schools for the use of sports facilities should be reviewed to ensure that Warwick District Council is bearing a fair proportion of the shared costs.	High	Cultural & Strategic Development Manager	Finance and Audit Scrutiny Committee have asked for partnerships of dual use sites to be considered at their October meeting.  The partnerships will also form part of the intervention in sport – to start Autumn 2010.
<b>Crime and Disorder – 27 August 2010</b>				
No recommendations arising.				