

CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 2 2014/15

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Committee Services – 26 September 2014		
<p>Future phases for both CMIS development and Councillor iPad roll-out (if pursued) should follow PRINCE2 methodology utilising the corporate project resources.</p>	<p><i>Democratic Services Manager:</i> Agreed. The development of CMIS is currently at a pause to enable discussions with our supplier on this area. When development resumes this will be built around a robust business case and plan. iPad project December 2014 With regard to the iPad project this will be developed as part of the review of the current trial in December 2014. CMIS project as required.</p>	<p>No further planned development of CMIS as yet, this will be subject to discussions and investigations during the year. iPad project, is to an extent, on hold. The intention is to reissue the previously purchased ipads proportionally (to the Council) then establish a review Group to manage the process and evaluate the works before going forward.</p>

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Shared Legal Services – 20 August 2014		
Management should ensure that budget setting for Shared Legal Services takes due account of the Agreement commitment and that any significant variation from the sum provided for is by mutual agreement between Warwick District Council and Warwickshire County Council.	<i>Deputy Chief Executive and Monitoring Officer / Head of Finance:</i> Agreed. This will be remedied for 2015/16 budget setting. February 2015 (WDC budget setting).	This was remedied for 2015/16 budget setting.
The Shared Legal Services User Guide should be refreshed including update of content and expansion to cover (where applicable) standing mandates and internal expectations including financial responsibility and ensuring compliance with relevant Council policies.	<i>Deputy Chief Executive and Monitoring Officer:</i> Agreed. WCC refreshing User Guide for WDC/WCC sign-off. 30 September 2014.	Guide has been updated to take on board, among other things, audit recommendations.
The documents accompanying the Shared Legal Services User Guide on the Intranet should be updated.	<i>Deputy Chief Executive and Monitoring Officer:</i> Agreed. This has been done and will accompany refreshed User Guide. 31 October 2014.	Guide is updated and published on the Intranet.

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<p>The refreshed Shared Legal Services User Guide should be relocated, together with the accompanying documents, to a more appropriate and prominent Intranet site and all authorised commissioning officers notified.</p>	<p><i>Deputy Chief Executive and Monitoring Officer:</i> Agreed. Will be done once User Guide refreshed. 31 October 2014.</p>	<p>Guide is accessed via "useful links" on the home page of the intranet.</p>
<p>All newly authorised commissioning officers should be advised of the Shared Legal Services User Guide and instructed to familiarise themselves with it.</p>	<p><i>Deputy Chief Executive and Monitoring Officer:</i> Agreed. Will now be done on a rolling basis. 30 September 2014.</p>	<p>This is done as I am advised of new officers to be added to the "Authorised Officers" list.</p>

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Corporate Properties Repair and Maintenance – 30 September 2014		
<p>A procurement exercise needs to be undertaken regarding door entry works at corporate properties covering the works currently being undertaken by Baydale and Dorma.</p>	<p><i>Asset Manager / Building, Surveying & Construction Manager:</i></p> <p>It was agreed with the previous Procurement Manager that the service should be absorbed into the current contract with Baydale as no response was received from suppliers during the unsuccessful procurement exercise undertaken in 2012/13. It is proposed to confirm this approach with the current Procurement Manager and act accordingly. December 2014.</p>	<p>In discussion with the Procurement Manager the service has been included in electrical repair and maintenance contract specification due to commence on 1st April 2016. Service covered by Baydale contract until this date.</p>

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<p>The out-of-hours situation should be investigated to ascertain if Pinner's can provide this service. If not, procurement options should be investigated.</p>	<p><i>Asset Management Team:</i> The risk of challenge is considered, by the Asset Manager, to be very low. Whilst the out-of-hours work could be split between contractors, the current arrangements are considered to be the most efficient for WDC, as it removes the need to pay several contractor duty officers. Provision for the service is made in relevant contracts. Out-of-hours instructions are carefully managed to ensure that assets are made safe and secure in the first instance and then all follow-on work is redirected to the principal contractors. N/A.</p>	<p><i>Audit & Risk Manager:</i> Update not applicable.</p>
<p>The use of the Electric Centre by Warwick Plant Maintenance staff should be formalised or consideration should be given to the use of a procurement card if appropriate.</p>	<p><i>Asset Manager / Energy Manager:</i> Agreed. Officer time will be dedicated to following up this action. April 2015.</p>	<p>Procurement Cards have been provided for the Warwick Plant Maintenance team.</p>
<p>The procurement options around the use of Ser-Tec Systems Ltd should be investigated, with a formal contract being put in place if no other suppliers are able to provide the service.</p>	<p><i>Asset Manager / Energy Manager:</i> Agreed. Work will be undertaken to ascertain if other suppliers are available and the contract issue will be resolved accordingly. April 2015.</p>	<p>In discussion with the Procurement Manager, the service will be reviewed by April 2016. It is accepted that the specialist equipment will be serviced and maintained by Ser-tec until the review is complete.</p>

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Royal Spa Centre – 17 September 2014		
The petty cash imprest should be reduced to £100 with the balance of £350 being repaid.	<i>Theatre and Town Hall Manager:</i> Laura Bates (Deputy Manager) will arrange for the £350 to be banked and liaise with Finance. 1 st October 2014.	Implemented October 2014.
Merchant copies of debit and credit receipts displaying the full 16 digit account number should have the first 12 digits obliterated.	<i>Theatre and Town Hall Manager:</i> Debbie Hanks (Customer Services Manager) will enquire of HSBC whether it is possible for the terminals to blank out the 12 digits. If not – will implement procedure to obliterate the numbers manually. 1 st October 2014.	Debbie Hanks investigated with HSBC whether new PDQ terminals could be sourced for the box office at the Town Hall and Spa Centre in October 2014. It was found to be not possible at the time. Staff have been manually oblitterating the first 12 digits of card number since we were made aware in September 2014. ** Debbie Hanks is currently re-looking at the possibility of now sourcing new PDQ terminals with HSBC**

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<p>Appropriate measures should be taken to remedy the present difficulties with the monitoring and allocation of Royal Spa Centre income.</p>	<p><i>Head of Finance:</i> Meeting with John Gould, Stephen Falp, Philippa Sheasby and David Guilding to address? TBC.</p>	<p>Detailed instructions and guidance has been given to all staff involved in the process. Accountancy have currently taken the reconciliations from Culture and are bringing them up to date. It is intended that On Line Returns (currently due to be rolled out in the Autumn), will automate much of the process.</p>
<p>Invoices for hirings of the Royal Spa Centre should be raised regularly and no more than a month after the event has taken place.</p>	<p><i>Theatre and Town Hall Manager:</i> David Guilding and Laura Bates to implement in weekly procedures. Immediately (17/09/14).</p>	<p>Implemented.</p>
<p>Consideration should be given to demanding payment in advance for hirings unless there are good reasons why this may be inappropriate.</p>	<p><i>Theatre and Town Hall Manager:</i> David Guilding and Laura Bates to implement in weekly procedures – where appropriate. Immediately (17/09/14).</p>	<p>Implemented.</p>

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Development Management – 30 September 2014		
Ensure all appropriate records are retained on IDOX.	<p><i>Development Management Team Leader:</i></p> <p>This is important in ensuring transparency within the service. This will be highlighted to all relevant officers and monitored at an appropriate level to ensure compliance.</p> <p>30 Nov 2014.</p>	<p>Officers (and managers) have been reminded of the importance of this and this will be regularly picked up at team meetings/1-1s etc. as necessary.</p> <p>Occasional ad hoc monitoring has been undertaken and where any occurrence has been identified, this has been addressed.</p>
Ensure Site Visit Reports are completed with sufficient detail.	<p><i>Development Management Team Leader:</i></p> <p>As above.</p> <p>30 Nov 2014.</p>	<p>Officers have been reminded of the importance of this. Inevitably due to the number of officers undertaking this work, there remains variation in the amount of information included. However, the Team Leader does sample checks on these to ensure that there is a common format.</p>
Ensure all relevant consultation responses are included in reports.	<p><i>Development Management Team Leader:</i></p> <p>This is important in demonstrating that all appropriate consultation responses have been properly taken into account in the decision making process.</p> <p>Action as above.</p> <p>30 Nov 2014.</p>	<p>Officers are very aware of this and the implications for this and it is rare for consultation responses to be missed. Managers, Senior Officers and Case Officers double check this when reviewing reports.</p>

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<p>Ensure that the scheme of delegation is adhered to for all planning applications received.</p>	<p><i>Development Management Team Leader:</i> This is crucial in ensuring that decisions are made at the appropriate level. Action as above. 30 Nov 2014.</p>	<p>Officers are fully aware of the scheme of delegation and ensure that decisions are made in accordance with the delegated agreement. All officers are vigilant in that respect and will continue to be so.</p>