

**SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS**  
**ISSUED QUARTER 3, 2017/18**

<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 (TID)</b>
<b>Corporate Governance: Organisational Culture – 9 January 2018</b>				
No recommendations resulting from review.				
<b>Collection of National Non-Domestic Rates – 2 November 2017</b>				
4.4.6	NNDR write-offs greater than £1,000 should be authorised by the Head of Finance or his representative.	Medium	Head of Finance / Exchequer Manager	We are to undergo an internal review of our write-off arrangements and document a new policy as the existing arrangements are no longer appropriate in terms of the different levels of authorisation that now occur and the amounts involved. TID: January 2018
<b>Media Services – 8 November 2017</b>				
No recommendations resulting from review.				
<b>Income Receipting and Document Management – 4 October 2017</b>				
No recommendations resulting from review.				

<sup>1</sup> 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.

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<b>Events Management – 31 January 2018</b>				
4.2.2	On completion of the next extension or re-let of the two market contracts (whichever is the sooner), procedures should ensure that the both agreements are properly executed and signed originals duly lodged in the Document Store.	Low	James Deville, Business Support Team Leader	This will be completed when it is necessary as determined by the expiry of the current contract. TID: October 2019.
4.2.6(1)	A retrospective review of stallholder statistics from the start of the general markets contract should be instituted to determine and recover the shortfall of income to the Council to date.	Medium	James Deville, Business Support Team Leader	I will undertake this review in due course to assess if income has been lost, and if appropriate whether it can be retrieved. TID: End of Q1 2018.
4.2.6(2)	Measures should be taken to ensure that meetings with the contractor incorporate a review at least six-monthly to set the ongoing monthly instalment amounts to be billed in accordance with the general markets contract.	Medium	James Deville, Business Support Team Leader	The meetings already incorporate a review of stallholder numbers, but I will ensure that a record is kept, and that the stallholder numbers is reflected in what we charge the contractor. TID: End of Q1 2018.
4.2.6(3)	Missing periodic returns on weekly stallholder numbers should be re-requested from the contractor. Procedures should ensure that all returns are submitted promptly by the contractor and retained for reference.	Medium	James Deville, Business Support Team Leader	I will ensure that these numbers are kept and updated, and that the evidence of these is kept. TID: End of Q1 2018.

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4.2.6(4)	Periodic officer spot-checks on stallholder numbers should be undertaken and results logged.	Medium	James Deville, Business Support Team Leader	I will ensure that a system is put in place to ensure that spot checks are completed going forward. TID: In place for end of Q1 2018.
4.3.6(1)	The status of the Operational Agreement as a true 'licence' document should be clarified with the aid of legal advice.	Medium	James Deville, Business Support Team Leader	I will speak to legal to assess what the status is of the documents that relate to the Mop. TID: Q2 2018.
4.3.6(2)	An update on the management of Mop Fairs should be reported to Members, including deviations from the 2014 Executive resolution.	Medium	James Deville, Business Support Team Leader	I will assess any deviations that have been made from the 2014 Executive resolution, and update management. TID: End of Q2 2018
4.3.6(3)	Any proposal to extend the opening time beyond 10.00pm on any Mop day in 2018 or 2019 should be submitted for Executive approval.	Medium	James Deville, Business Support Team Leader	We have no plans to extend the opening time, but will ensure that the Operator only opens within the set hours. TID: Oct 2018.
4.3.6(4)	Unless formally withdrawn in the meantime, the approved changes to the Mop licence under the 2014 Executive resolution should be revisited as part of the re-letting process for the Operational Agreement covering Mop Fairs in 2020 and beyond.	Medium	James Deville, Business Support Team Leader	Any changes that are required to the 2014 Executive resolution will be revisited as part of the re-letting process. TID: Oct 2019.

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4.3.9	Procedures should ensure that the financial security provisions of the Operational Agreement for the Mop Fairs (Clause 12) are complied with and retrievable copies kept of any bonds.	Low	James Deville, Business Support Team Leader	I will address any issues around the deposit or bond by Mop 2018. TID: Oct 2018.
4.4.10 (1)	The Markets Policy should be revised to:- <ul style="list-style-type: none"> <li>• update (or remove) the market operator contact details;</li> <li>• clarify the distinction between notice requirements under Section 37 and the Council rights of prohibition under Food Act 1984;</li> <li>• reinforce the one-month period of notice required under Section 37 and liability to summary conviction for an offence if flouted.</li> </ul>	Low	James Deville, Business Support Team Leader	I will ensure that these points are addressed with regards to the details and distinctions made within the Markets Policy, and correct these where applicable. TID: End of Q2 2018.
4.4.10 (2)	Appropriate publicity should be initiated for the Markets Policy following revision, including publication on the Council's website.	Low	James Deville, Business Support Team Leader	I will ensure that the marketing of the District's Markets Policy is appropriate. TID: Q2 2018.
4.5.4	An update to the Scheme of Delegation should be sought to the effect that authority to determine applications for markets and exercise the Council's rights of prohibition under Part III of the Food Act 1984 are delegated to the Head Development Services.	Low	James Deville, Business Support Team Leader	I shall seek an update to the Scheme of Delegation. TID: Q2 2018.

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<b>Licensing Services – 7 December 2017</b>				
4.2.2	Policy documents should be reviewed to ensure that they remain current.	Low	Licensing Team Leader / Regulatory Manager	Licensing Act 2003, Gambling Act 2005, Taxi Handbook and Street Trading Policies are all due to be formally reviewed in 2019. TID: 2019 All other policies will be reviewed accordingly. TID: July 2018
4.5.12	Whilst physical income is still accepted, Reception and CST should be issued with reminders about the relevant coding of income.	Low	Licensing Team Leader	Reception and CST have been issued with Fee Information for 2018 that includes the licence name, fee and cost centre it should be allocated against. Conversations have taken place with Finance about improving the PARIS system, which is used for receipting income. TID: Complete but also on-going.
<b>Energy Management – 11 December 2017</b>				
4.2.3	A procurement process compliant with the Code of Procurement Practice should be undertaken for the supply of biomass fuel.	Medium	Contract Administrator M&E (IR)	Revised contract arrangements, that are fully procurement compliant, will be in place by 31 March 2018. TID: April 2018
4.2.4	The contract register should be updated to reflect the existence of the Gazprom contract document.	Low	Contract Administrator M&E (IR)	A copy of the contract has been scanned and retained by Assets and the contract register up dated. TID: Complete.

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4.3.2	The Harbury Lane Sports Pavilion should be connected to the building management system.	Low	Contract Administrator M&E (RJ)	We are currently obtaining quotes to assess if it will be cost effective to get the pavilion connected. A new Wi Fi connection would be required for the remote location. TID: April 2018
4.3.6	Training should be obtained by the Contract Administrators to ensure best use of the building management system is made.	Medium	Interim Asset Manager	Training has been booked for both CA's scheduled for end of January 2018. TID: February 2018
4.4.3	Actual meter readings should be taken and provided wherever possible.	Low	Business Administration Manager	Procedures are being developed to ensure that meter readings are captured. TID: April 2018
4.4.16	Correct recharges should be raised for the leaseholders of the flats at St Margaret's Shopping Centre.	Low	Business Administration Manager	Bill payments have been moved to the correct cost centre and charges recorded to be apportioned to the leaseholders. TID: Completed.
4.4.20	A formal sign up document should be implemented for Sayer Court that includes details of energy charges.	Low	Sustaining Tenancies Manager	Legal Services have been contacted for advice. TID: April 2018.