

Current Implementation Position for Low and Medium Risk Recommendations
issued in Quarter 3 2018/19

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Housing Benefit & Council Tax Reduction – 31 December 2018		
The rejected BACS payment should be processed accordingly on the system. Staff should also be reminded of the need to process these notifications on a timely basis.	<i>Benefits & Fraud Manager:</i> This has now been done. PID: Completed.	Recommendation immediately addressed – no further action necessary.
An amendment needs to be made to the account that was flagged as having the restricted rent still being applied with the underpayment being actioned accordingly.	<i>Benefits & Fraud Manager:</i> This has now been done. PID: Completed.	Recommendation immediately addressed – no further action necessary.
Staff should be reminded of the need for Senior Officers to review the cases and complete the relevant decision notices.	<i>Benefits & Fraud Manager:</i> To be discussed during the next team meeting. PID: 12 December 2018.	This was addressed with staff during the team meeting on the 12 th December 2018.
Staff should be reminded of the need to get the claimants approval for the benefit payments to be made to their landlords in all relevant cases.	<i>Benefits & Fraud Manager:</i> To be discussed during the next team meeting. PID: 12 December 2018.	This was addressed with staff during the team meeting of the 12 th December 2018.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Staff should be reminded of the need to select the relevant reason codes when processing landlord payment applications.	<i>Benefits & Fraud Manager:</i> To be discussed during team meeting. PID: 12 December 2018.	This was addressed with staff during the team meeting of the 12 th December 2018.
There should be segregation of duties between the request and authorisation of write-offs.	<i>Benefits & Fraud Manager:</i> The appropriate member of staff has been advised. PID: Completed.	Recommendation immediately addressed – no further action necessary.
Payroll and Staff Expenses – 14 January 2019		
The categorisation of documents on the HR handbook should be reviewed so that relevant documents can be easily located.	<i>HR Manager:</i> This has been reviewed previously with Media. However, the issue will be revisited. TID: September 2019.	Completed – As policies are updated we are reviewing the areas they are located.
A consistent method of storing documents in the HR network folders should be introduced.	<i>HR Manager:</i> HR Support are reviewing how they save and are agreeing best practice. TID: January 2019.	Completed – Co-ordination between the team has reviewed how we store documents consistently
HR should review the requirement for retaining expenses receipts. Should it be confirmed that there is a requirement to retain them, the method of storing the receipts should be reviewed to ensure appropriate accessibility and retrieval.	<i>HR Manager:</i> Agreed. Payroll will be contacted to review the retention requirements with action taken accordingly thereafter. TID: April 2019.	Completed – Meta message 21.3.19 confirming requirements for keeping receipts.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>A decision should be taken with regards to the dates that Members' allowances changes become effective, with this being consistently applied.</p>	<p><i>Democratic Services Manager and Civic & Committee Services Manager:</i> We welcome this finding and agreed this would be implemented with the leave date being the date the Councillor was removed from the Committee and the replacement Councillor starting the day after. TID: Completed.</p>	<p>Recommendation immediately addressed – no further action necessary.</p>
<p>Database Security – 1 November 2018</p>		
<p>ICT management should ensure that all SA accounts are renamed.</p>	<p><i>Infrastructure Manager:</i> Accepted: Four sql installs have 'sa' enabled. Tegan4 – this box is being decommissioned. Energy2 – 'sa' account has now been disabled Datapulse2 – the supplier will look into this, however this is a low risk box. Pncserver – the supplier has quoted £450 to make changes. However, a complex password is being used which we believe has mitigated the risk. PID: No Further Action.</p>	<p>Recommendation immediately addressed – no further action necessary.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>ICT management should identify and obtain a password management solution for the storage of key passwords.</p>	<p><i>Head of ICT:</i> Accepted. A new password vault will be investigated. PID: May 2019.</p>	<p>ICT has investigated several password vaults and spoken to neighbouring authorities about their respective solutions. It has been decided that a commercial password vault does not represent value for money because they are often packaged with additional functionality that is not required by the council.</p> <p>However, we have looked at the possibility of developing an in-house solution based on the adoption of SharePoint online. A prototype has been tested, and all indications are that this will be the final solution.</p>
<p>ICT management should ensure all SQL Server database 'Guest' accounts are reviewed and disabled.</p>	<p><i>Infrastructure Manager:</i> Accepted. All identified 'guest' accounts have been disabled apart from Metacompliance where the 'guest' user only has connection rights to view the database table diagram. PID: No Further Action.</p>	<p>Recommendation immediately addressed – no further action necessary.</p>
<p>ICT management should upgrade to the latest SQL Server service pack following the upgrade of the Horizon software.</p>	<p><i>Infrastructure Manager:</i> Accepted. Horizon upgrade is in the final planning stage. Once complete the latest service pack will be applied. PID: May 2019.</p>	<p>This action cannot be completed until Horizon is upgraded. The Horizon upgrade is 50% complete with the final elements scheduled to be completed by Dec 2019. The SQL upgrade will then take place.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Employee Attendance Management – 9 November 2018		
<p>Managers should be reminded of the need to complete return to work forms for all sickness absence.</p>	<p><i>SMT:</i> Managers are advised in Self-Serve training and it is included as part of the new HR for non HR manager Courses which all managers must attend. It is also noted on the form, the intranet and in the policy. We recommend that SMT discuss this with their managers.</p> <p><i>HR Manager:</i> Coventry City Council (as the payroll provider) will be contacted to check whether an absence trigger report can be produced. PID: March 2019.</p>	<p>Recommendation immediately addressed – no further action necessary.</p> <p>HR Manager – Coventry City Council has confirmed that this cannot be produced at present.</p>
<p>Guidance should be provided to managers regarding the retention of Return to Work forms in terms of the method and period of time that they need to be held for.</p>	<p><i>HR Manager:</i> Managers need to be advised of the Retention timescales – 6 years +1 after the end of employment (confirmed with Data Regulations Officer) PID: March 2019.</p>	<p>As confirmed with DRO this links to a wider corporate initiative of other documents falling into this area for communication to managers. New timeline – Feb 2020 for draft policy/comms to be approved.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Community Infrastructure Levy and Section 106 Agreements – 10 December 2018		
<p>Consultees should be formally made aware of the outcome of relevant applications including in relation to any contributions that are to be paid to them.</p>	<p><i>Development Manager and Business Managers:</i> Whilst it is unlikely to be practicable to individually advise all consultees of the outcome of planning applications, consultees are able to follow progress online and will be reminded of this. PID: December 2018.</p>	<p>This is being progressed directly with IDOX whereby it will be possible to select relevant consultees who will be added to the recipient list when the decision notice is emailed out.</p>
<p>Responsibility should be formally assigned for the updating of the monitoring information, whether this is the spreadsheet or Acolaid once this has been fully implemented.</p>	<p><i>Head of Development Services / Development Manager:</i> That responsibility has now be assigned to the Development Monitoring Officer. The spreadsheet will only be used until such time that Acolaid holds all data. New records will be entered direct in to Acolaid with only a short reference being included in the spreadsheet. Associated with this, new processes are being introduced to use Acolaid to ensure all s106 contributions requested are captured and recorded by case officers. PID: Completed.</p>	<p>Recommendation immediately addressed – no further action necessary.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>The monitoring spreadsheet should be kept up to date and should include all relevant information.</p>	<p><i>Head of Development Services / Development Manager:</i> The main monitoring spreadsheet will be updated to ensure that the contributions are being accurately recorded prior to the Acolaid system being employed for this process. PID: Completed and ongoing.</p>	<p>Recommendation immediately addressed – no further action necessary.</p>
<p>The process of calculating the contribution invoices should be amended so that the figures can be verified.</p>	<p><i>Head of Development Services / Development Manager:</i> The process for calculating the invoices (including indexation) will be set out on each invoice as a way allowing the figures to be checked. Invoices will then be associated with the Acolaid record. Further advice will be sought from Internal Audit to ensure that the process is appropriate going forward. PID: Immediate and ongoing.</p>	<p>Recommendation immediately addressed – no further action necessary.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>Formal monitoring should be undertaken to ensure that monies are being spent as stipulated in the s106 agreements.</p>	<p><i>Head of Development Services / Development Manager:</i> This has been done in relation to 3rd party contributions (SWFT, Police, CCG) where formal legal agreements are now used to ensure money is spent correctly. Similar arrangements need to be put in place for internal contributions. The process for this needs to be agreed through SMT. PID: Completed.</p>	<p>Recommendation immediately addressed – no further action necessary.</p>
<p>Insurances – 30 October 2018</p>		
<p>Development of a formal insurance strategy be considered that provides the framework to ensure that the Council has in place an optimal balance between external insurance and self-insurance.</p>	<p><i>Insurance & Risk Officer:</i> Agreed. Consideration will be given to the introduction of an insurance strategy. PID: End of March 2019</p>	<p>Consideration has been given to writing an insurance strategy but one will not be written because insurance arrangements depend on the insurance and business markets. As part of the procurement this year, records will be kept of the reasons for decisions taken and the instructions in the insurance market will be updated.</p>
<p>An action tracker be included as part of the update to SMT.</p>	<p><i>Insurance & Risk Officer:</i> This will be included from the next report. PID: November 2018.</p>	<p>An action tracker has been included in reports to SMT from 7 November 2018.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The Risk Management Strategy be updated and made available on the Council web site.	<i>Audit & Risk Manager:</i> Agreed and now done. PID: September 2018.	Recommendation immediately addressed – no further action necessary.
Oversight of risk registers by the IARO be embedded to ensure that insurance is considered in all cases.	<i>Audit & Risk Manager / Insurance & Risk Officer:</i> Audit & Risk Manager in process of putting all risk registers on intranet site viewable by all staff. When set up these will be updated quarterly. Insurance & Risk Officer can then view these documents systematically and ensure that due provision has been made for insurance aspects of risks. PID: End of October 2018.	Now completed: Up-to-date versions of all service risk registers and the corporate risk register are now on the intranet. These will be updated regularly.
The claim forms should be refreshed and reflective of GDPR requirements.	<i>Insurance & Risk Officer:</i> Wording was reviewed and updated in May 2018 taking into account advice and examples from other authorities in the absence of an Information Governance Manager. Advice will be sought from the Information Governance Manager and wording updated accordingly. PID: End of March 2019.	Met with Information Governance Manager and privacy statement amended slightly. Revised form added to website and LACHS 21 March 2019.

Current Implementation Position for High Risk Recommendations
issued in Quarter 1 2019/2020

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Loans to External Organisations – 6 June 2019		
<p>To prevent loans being allocated to selected applicants, an application process should be formed. This will allow a fair and equal opportunity for a wider audience to apply.</p>	<p><i>Corporate Management Team:</i> We do not consider that a Loans Policy and application process should be developed. The Localism Act gives a broad remit for Councils to use what powers (tools) they consider necessary to deliver a specific objective. A loan may be the right solution for a specific case but we do not believe that in effect “a loan application scheme” should be established. We accept that a checklist should be established so that there is a consistency around process and procedure. PID: The checklist will be developed when we next consider that a loan is the appropriate tool to use.</p>	<p>Having since consulted with the Chair of the Finance & Audit Scrutiny on this matter, it is now felt that a Loans Policy and application process would aid governance and therefore should be developed. A fair amount of progress was being made in producing these items but has stalled of late due to other priorities. It is intended that the matter will be concluded by the end of November and that a report will be issued to Executive in December.</p>