

CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 1 2014/15

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Corporate Procurement – 6 June 2014		
A fundamental review of the Procurement Strategy should be undertaken with a view to instilling a 'road map' approach and SMART principles, and the resultant revised document submitted to Executive for adoption.	<i>Deputy Chief Executive (AJ) / Head of Finance:</i> The Strategy is being reviewed and updated along with all the other key procurement policies. December 2014 Executive.	Procurement Strategy updated and presented to members in March 2015.
Respective roles of Members and senior managers in the strategic leadership of procurement should be clarified and correctly represented in the revised Procurement Strategy and the Significant Business Risk Register as applicable.	<i>Deputy Chief Executive (AJ) / Head of Finance:</i> Roles will be reviewed and clarified as part of the review of procurement policies/documentation. December 2014 Executive. The SBRR responsibility will be reviewed when SMT next consider it. July 2014	Roles clarified within updated Code of Procurement Practice and Procurement Strategy. Responsibilities within SBRR for procurement reviewed by SMT and Executive with amendments to clarify.

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The role of the Procurement Board should be reviewed and codified into agreed terms of reference, ensuring that they appropriately complement and do not conflict with the respective roles of Members and senior managers.	<i>Deputy Chief Executive (AJ):</i> As the Procurement Board is still in its infancy, the terms of reference still are to be formally agreed. This will be reviewed at the next meeting of the Board. September 2014 TBA.	New Procurement Strategy and Code in place. Due to workload and other priorities, it has not been possible to progress the Board and so, for the time being, the Procurement Board has been disbanded. Further consideration still required as to whether the proposed Board will add value, and its potential role. Should it become apparent that there is a need for such a Board, the situation will be reviewed.
The Council's Intranet resource should be reviewed and enhanced to secure a complete and accessible purchasing framework that encompasses all corporate sourcing arrangements (including buying consortia and framework agreements) along with details of applicable contact officers	<i>Procurement Manager:</i> Intranet page to be reviewed and updated following agreement of updated procurement policies. January 2015. Feasibility and plan for details of "sourcing arrangements" to be considered. March 2015.	Procurement Awareness training currently underway, with completion by end of June 2015. Further advanced training planned, along with Contract Management which is currently being arranged by HR. Induction training to be considered with HR to agree if appropriate to be part of formal induction programme.
Incorporation of procurement into the corporate Learning and Development Programme and mandatory employee induction training should be explored in consultation with Human Resources.	<i>Procurement Manager:</i> Consideration of procurement training programme and the best way to manage as part induction process being discussed with HR. June 2014.	Procurement Strategy and Action plan now updated with more specific actions included.

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Monitoring mechanisms should be established in accordance with agreed roles and clear management objectives which in turn should be clearly defined in the Procurement Strategy.	<i>Head of Finance / Procurement Manager:</i> Being addressed as part of review of procurement policies/documentation. December 2014.	Procurement Strategy Reviewed and updated. Working with ICT to put arrangements in place to assist in managing Procurement workflows.
The formulation of the Procurement Strategy and Action Plan should have regard to the Strategy's role of informing projects relating to procurement represented in the Service Delivery Plans (especially Finance).	<i>Head of Finance / Procurement Manager:</i> To be reviewed as part of update of Strategy, and clarify where such projects should be detailed having regard to the Contract Register and the Team Operational Plan. December 2014.	2015/15 Team Operational Plan being produced based on Contract Register updates and new ICT arrangements (see above).
Re-introduction of annual team operational plans for the Procurement Team should be considered.	<i>Procurement Manager:</i> Being produced based on updated Contracts Register and meetings held with budget/contract managers. July 2014.	Procurement Awareness training currently underway, with completion by end of June 2015. Further advanced training planned, along with Contract Management which is currently being arranged by HR. Induction training to be considered with HR to agree if appropriate to be part of formal induction programme.

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Banking Arrangements – 24 June 2014		
The Code of Financial Practice should be updated on the council's website, as per the amendment approved by Executive.	<i>Assistant Accountant (Capital & Treasury Management):</i> The website version of the Code of Financial Practice will be updated to include the amendment. July 2014.	The last revision of the Code of Financial Practice omitted this amendment which will now be included in the next revision.
Interest received on the Business Deposit Account should be checked to the council's own calculations on a quarterly basis to ensure that any discrepancies noted can be queried in a timely manner.	<i>Assistant Accountant / Principal Accountant (Capital & Treasury Management):</i> The actual interest credited to the BDA will be checked against our spreadsheet and any significant discrepancy reported to the Bank. Immediate.	Business Deposit Account now reconciled on a regular basis. Interest is now paid to WDC gross.

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<p>The old cheque stock should either be used (if they are still valid cheques) or be securely destroyed.</p>	<p><i>Finance Admin Manager:</i></p> <p>The old cheque stock does not contain valid cheques and can no longer be used; each box has been clearly marked with an "X" to ensure that they are not issued and they are stored on the top shelf of the cabinet separate to the current valid stock.</p> <p>However, arrangements will be made to ensure that the old stock is securely disposed of / destroyed to remove all risk.</p> <p>July 2014.</p>	<p>Update 29th April 2015;</p> <p>The following invalid / old cheque stock was securely destroyed on 2nd July 2014:</p> <p>00858001-00859000 00857001-00858000 00854001-00855000 00855001-00856000 00856001-00857000 765001-766000 766001-767000 767001-768000 768001-769000</p> <p>Multiple cancelled cheques between the date range of 1998-2012 were also securely destroyed on 2nd July 2014.</p> <p>This has been noted and signed-off on the FSTeam Cheque Reconciliation 2014/2015 form. I can confirm that monthly reconciliations cheques are undertaken and the only stock now held is the current / valid supply.</p>

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Lettings and Void Control – 24 June 2014		
Expansion of the Housing Advice Manual to incorporate Lettings functions should be considered as part of the updating process.	<i>Housing Advice Manager:</i> This has already been considered. A meeting has already taken place with the provider to discuss how this will be taken forward. March 2015.	An Additional meeting has taken place due to some out of date information on the housing advice manual. This is continuing to be updated. April 2015
Staff should be reminded that all retained copies of documents proving identity, residency and household of applicants must be endorsed 'certified true copy' with date and signature.	<i>Housing Advice Manager:</i> The Housing Advice service is currently moving to electronic working. Therefore documents received will be scanned in not photocopied. Measures are being considered as to the risk of not certifying as a true copy and the risks to the Local Authority. December 2014.	Scanning all documents received is in full operation. Documentation is regularly monitored and risks are being assessed on certifying true documents. April 2015
The Council's position should be reviewed with regard to the two Leamington Spa guest houses used for homeless placements in the light of possible VAT irregularities.	<i>Housing Advice Manager:</i> A review of the temporary accommodation is planned for when the re-structure is in place (September 2014). Steps have already been taken to address the issues with VAT and B&B placement. December 2014.	We are currently in the early stages of undertaking a review of the Temporary Accommodation and the usage of B&B.

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System alerts or reporting should be pursued to support the scheduling of settling-in visits by ensuring that all applicable tenancy commencements are identified.	<i>Sustaining Tenancies Manager:</i> System to be set up on HPM, in the meantime a spreadsheet will be used to schedule settling in visits. Spread sheet system in place from 1/7/2014.	HPS currently have other priority IT projects, – no implementation date at present for setting up Settling-in visits on HPM. Spread sheet system has been in place from 1/7/2014. Please note that the responsible officer is Tenancy Manager – Sue Sweeney.
Specific standards and filing conventions for documentation on mutual exchanges should be considered along with logging of significant events in ActiveH.	<i>Sustaining Tenancies Manager:</i> HPM needs to be set up on ActiveH, the priority will be set by the IT group. December 2014.	Logging of significant events such as dob - to be implemented by Business Support Manager from June 2016 HPS currently have other priority IT projects – no implementation date at present for up mutual exchanges on HPM. Please note that the responsible officer is Tenancy Manager – Sue Sweeney.
Community Leisure Facilities – 27 May 2014		
Folios need to include sufficient levels of detail (i.e. include usage details regarding peak / off-peak and junior / adult bookings) and are consistent in the names used for hirers to ensure that duplicate debtors are not set up.	<i>Operations Managers:</i> Staff at site who compile the folios have been instructed to increase the detail on the folios. Change of address / hirer details will be flagged up to the business support team when the invoice is sent for processing. June 2014.	This has been fully implemented. The business support team have contacted all hirers and have up to date details for all. They will continue to manage the customer database for hirers.

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Correct prices should be charged for all bookings.	<p><i>Operations Managers:</i></p> <p>Errors on folios have now been addressed.</p> <p>The Sports Facilities Area Manager has been emailed and has confirmed that off peak charges will apply at weekends as current usage may suffer if this error is rectified. Usage at weekends is not high and an increase in price would probably prove detrimental.</p> <p>June 2014.</p>	Ongoing monitoring by the Area Manager.
Confirmation of booking and insurance details needs to be obtained regarding the hiring of Meadow Community Sports Centre by the specific user.	<p><i>Operations Manager (AF / CF):</i></p> <p>Supervisors have been tasked to obtain up to date insurance for bookings.</p> <p>July 2014.</p>	<p>Operations Managers – to ensure all booking form accompanied by relevant documents.</p> <p>Ongoing specific monitoring by the Area Manager to ensure form are on file.</p>
Cash collection receipts should be cross referenced to the relevant cash sheets and / or paying in slips at Meadow Community Sports Centre.	<p><i>Operations Manager (AF / CF):</i></p> <p>Cash collection receipts will now be affixed to the daily sheets on the day of the collection which is the procedure at the leisure centres.</p> <p>June 2014.</p>	Ongoing monitoring by the Area Manager to audit cash collection receipts.

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The inventory for Meadow Community Sports Centre should be updated and purged of consumable items.	<i>Operations Manager (AF / CF):</i> Supervisor at Meadows is currently updating the inventory. June 2014.	Inventories are fully up to date and Operations Manager will ensure they are completed annually.
Documents Store – 10 June 2014		
Consideration should be given to the formulation of a policy on secure document storage such that staff are clear as to which types of documents must be held in the Document Store. A policy should include details of retention periods for the various documents.	<i>Deputy Chief Executive (AJ) / DMC Team Leader:</i> A policy will be drafted for consultation with the aim of having an agreed policy by the end of the year. 31 December 2014.	Revised date agreed with line manager, Fiona Clark: 31 December 2015
Details should be publicised on the Intranet, and included on the DMC pages, of the management arrangements for the Document Store together with instructions for adding new documents and access arrangements covering removing and returning documents.	<i>DMC Team Leader:</i> Initial dialogue has commenced and a plan is being progressed. 30 September 2014.	Revised date agreed with line manager, Fiona Clark: 31 December 2015. This is because of delays in implementing new intranet.
Regular inspections of the Document Store should take place to ensure that the log and contents agree and that all documents are in place.	<i>DMC Team Leader:</i> Regular weekly inspections have now been implemented. 30 June 2014.	No further response required – Recommendation already implemented.

CURRENT IMPLEMENTATION POSITION FOR HIGH RISK RECOMMENDATIONS
ISSUED IN QUARTER 3 2014/15

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Section 106 Agreements – 14 January 2015		
The planned monitoring processes set out should be put in place as a key priority.	<p><i>Development Manager & Enforcement Manager:</i></p> <p>Agreed. The course of action is included in the Development Services draft Improvement Plan.</p> <p>In view of the complexity of the project, the Development Manager will advise Internal Audit should any issues come to light which may affect the completion date.</p> <p>End Feb 2015.</p>	<p>Comprehensive monitoring processes now in the course of being implemented in practice:-</p> <ul style="list-style-type: none"> • S106 monitoring spreadsheet (at the core of monitoring process) completed; details now being double checked as part of which it has been shared with all other WDC service areas. • Ongoing liaison with external partners has commenced with joint working protocol being progressed. • The working up of financial protocols also being progressed internally.