

Appendix 3

Current Implementation Position for Recommendations Due for Completion by End of Quarter 4 2023/24

RECOMMENDATIONS	MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Open Spaces (2022/23 Audit)				
The Green Space Strategy should be reviewed and updated. It should also take the Council's actions towards the climate emergency, ecological emergency, and health inequality into consideration.	Any review needs to address the climate emergency, ecological emergency, and health inequality. Current strategy ends in 2026 so would start planning to review in 2024.	Start 2024	Yes – April 2024	This will be integrated into the service plans for 2024/25
Cloud Applications and Hosting Contracts				
A formal ICT procurement policy, that includes cloud applications, should be documented and approved.	ICT will work with Procurement to design an appropriate process and policy that ensures due diligence is carried out and that ICT are actively involved in the approval of solution procurements. Assistance will be required from the Senior Leadership Team to embed the new policy within their service areas.	January 2024	Yes – May 2024	Due to staff availability there has not been an opportunity to construct an appropriate policy with procurement colleagues. However, this work will be taken forward for completion before 31/05/2024. This is allowing time for a policy to be developed, considered by SLT and approved.

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Financial Strategy, Planning and Budgetary Control (2022/23 Audit)				
<p>The 'Managing Your Cost Centre' course should be made mandatory for new budget managers with consideration being given to running this as refresher training for existing budget managers.</p>	<p>Original: A new training programme is to be established to support the use of the new Finance Management System, introduced in Nov 21. This was supported at launch by mandatory training sessions.</p> <p>Update (June 2023): Support is currently offered by Assistant and Principal Accountants to assist all Finance system users (including Managers). A new Budgeting system is being developed and accompanying training will be provided. This will take place over the next couple of months with a view to having this live by September 2023.</p> <p>Update (November 2023): The PowerPoint that was going to build on the initial training we offered our users at go-live for new starters was being updated but, with one thing or another, this got delayed. The Strategic Finance Manager's thinking now is this needs to be more Cost Centre Manager focused so</p>	<p>End of January 2024 (Previous Target Dates of April and September 2023)</p>	<p>Yes – June 2024</p>	<p>Due to workload in the Team it hasn't been possible to put together this training. The next couple of months will be focused on upgrading to a newer release of the system and then year-end processes. We should look to start this late April and for now suggest we put in a completion date of 30/06/2024.</p>

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	<p>we're looking at bringing those bits more into it.</p> <p>The last few weeks have been busy with the Fees and Charges exercise. That's over now, so this will be looked at again over the coming weeks with the Strategic Finance Manager and the Team.</p>			
Grounds Maintenance				
<p>The contractor should be reminded of their contractual obligation to provide a statement of annual account to the Council at the beginning of each financial year.</p>	<p>Original: Agreed to implement. Will be discussed at next managers meeting with IDVERDE.</p> <p>Update (December 2023): Not raised, will discuss in Partnership meeting in the new year.</p>	<p>23 January 2024 (Previous Target Date of October 2023)</p>	<p>No</p>	<p>The contractor (idverde) will be providing a full financial breakdown / audited account for financial year 2023/24. The Neighbourhood Services Manager will request this in April 2024 and this can be forward to Audit on request.</p>
Conservation and Design				
<p>It should be ensured that document are uploaded to the portal, where appropriate, to provide and audit trail showing that the Conservation team have been consulted with and had the opportunity to provide comments.</p>	<p>The Business Managers will be asked to remind their officers to ensure all relevant documents are uploaded as part of the planning application. This will ensure responses from the Conservation team are logged appropriately with relevant cases.</p>	<p>January 2024</p>	<p>No</p>	<p>Action undertaken on 12 February 2024.</p>

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CIVICA APP Application (2022/23 Audit)				
<p>The Information Governance Manager should be contacted to discuss whether there is a need for a specific DPIA for the CIVICA APP system or whether the departmental record is sufficient.</p>	<p>Original: A discussion will be held with the Information Governance Manager as suggested.</p> <p>Updates (September & October 2023): The Information Governance Manager has been contacted to discuss this further and a meeting has been arranged to create the DPIA for CIVICA APP</p> <p>Updates (November 2023): A draft DPIA has been created - awaiting final comments from Head of Service and Civica APP Team Leaders before final sign off. A draft DPIA has been created with the IGM - this was then circulated for final comments from other Team Leaders/Users of the APP. These comments are due to be reviewed and added to the DPIA, however the IGM is leaving and a new manager will be in place.</p>	<p>January 2024 (Previous Target Date of December 2023)</p>	<p>Yes – but within this same reporting period.</p>	<p>Original (February 2024): Still awaiting feedback from new Governance Officer - will chase on Friday 8/2/24 - please can target for this be extended to end of February. Barring any complications the DPIA should be finished off and signed off by then, as it is complete and just awaiting feedback from new officer.</p> <p>First Update (March 2024): Due to the changing nature of the Information Governance Manager role at this moment in time, the DPIA has still been delayed. A further email was sent to the new postholder for comment, however was also leaving, so there was a new the contact going forward. Final comments were added to the to the DPIA, which were shared with the new contact and feedback was being awaited before the DPIA was finalised.</p> <p>Second Update (25 March 2024):</p>

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	<p>IGM has left handover notes for new manager to discuss with myself and finalise the DPIA.</p> <p>Update (2 January 2024):</p> <p>In an update to the previous report feedback for this recommendation, we are still awaiting the new IG manager to be appointed, to then discuss completing the DPIA with. Although this may be doable with the interim manager, the DPIA is nearly complete, so I don't anticipate this taking long. So I would recommend perhaps changing the target date for this to be the end of January.</p>			<p>As evidenced by all of the previous responses, the Information Governance Manager has been contacted to discuss the need for a DPIA, so the recommendation is effectively completed.</p> <p>The DPIA has been completed in draft but is awaiting final comments before it is signed off. However, due to the departure of different members of staff filling the role, this final sign-off is still outstanding.</p>
Tech One (Finance Application)				
<p>All key issues reported by users should be logged. The log should include the date it was reported, name of user, description of issue, resolution and date resolved.</p>	<p>A log is now in place.</p>	<p>Completed at the time of the final report being issued.</p>		
<p>Change control procedures should be documented detailing the process for making changes to the system. The procedures should clearly outline the type of changes subject to the</p>	<p>Change control procedures are now in place.</p>	<p>Completed at the time of the final report being issued.</p>		

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procedure, any exceptions, testing requirements and signoffs.				
The disaster recovery plan for the system should be confirmed, including the recovery time objective and details of when it was last tested.	The disaster recovery plan will be confirmed with Technology One. The Principal Accountant (Systems) will liaise with ICT colleagues to establish how to use the Council's cloud security questionnaire to address this.	End of January 2024	Yes – but within this same reporting period.	<p>Original (February 2024): Had been awaiting a response from Tech One to clarify a couple of points. This has now been received but further clarification is required which will be dealt with following a period of leave.</p> <p>Update: Tech One have provided access to reports that provide evidence that there are appropriate disaster recovery processes in place.</p>
Confirmation should be sought on what backups are taken, including frequency, retention, testing, recovery point objective and storage of backup copies. Storage should include an offline copy for protection against ransomware attacks.	The backup processes will be confirmed with Technology One. The Principal Accountant (Systems) will liaise with ICT colleagues to establish how to use the Council's cloud security questionnaire to address this.	End of January 2024	Yes – but within this same reporting period.	<p>Original (February 2024): Had been awaiting a response from Tech One to clarify a couple of points. This has now been received but further clarification is required which will be dealt with following a period of leave.</p> <p>Update: Tech One have provided access to reports that provide evidence that there are appropriate back up processes in place.</p>

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Further details on the operation of the audit logging system should be confirmed with the supplier.	The configuration of audit logging reports will be confirmed with Technology One. The Principal Accountant (Systems) will liaise with ICT colleagues to establish how to use the Council's cloud security questionnaire to address this.	End of January 2024	Yes – but within this same reporting period.	<p>Original (February 2024): Had been awaiting a response from Tech One to clarify a couple of points. This has now been received but further clarification is required which will be dealt with following a period of leave.</p> <p>Update: Tech One have provided details of the audit logging that is undertaken by the system and what can be configured.</p>
Key / sensitive functions, such as changes to supplier bank details, should be limited to designated users.	This has been completed.	Completed at the time of the final report being issued.		
The new password policy being proposed should be implemented, apart from the expiry period which should be re-considered.	The revised password policy will be sent to SLT for approval and implementation by 02/02/2024. The policy will then be applied to all users of T1 via the Council's single authentication mechanism. Feedback regarding password change frequency will be noted for discussion with SLT accordingly.	February 2024	No	SLT considered and approved ICT's revised Access and Identity Management Policy on 01/02/2024. This was agreed for implementation over a three-month period and as such, will automatically be applied to CIA users.

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A risk should be added to the Finance risk register for the way access profiles are setup.	This will be flagged to be considered as part of the next review of the Finance risk register.	End of March 2024	Yes – June 2024	Due to the departure of the previous Audit and Risk Manager and the competing Finance year-end priorities, this recommendation has not yet been actioned. However, meetings have now been scheduled for June at which the Finance Risk Register will be reviewed and consideration will be given to the inclusion of this issue.
An annual documented review of Finance user access should be performed.	An email will be sent to the relevant Finance section heads on an annual basis to confirm that users with the Finance profile still require this level of access.	End of March 2024	No	An email was sent to the Strategic Finance Manager on 15 March 2024 to check whether access was still appropriate.
Housing Benefit and Council Tax Reduction				
Staff should be asked to declare, annually, that they have read and understood the terms and conditions laid out in the register.	A training document has been produced. This will be issued to all staff, and we will use meta compliance to confirm that staff have read and understood the conditions.	31 January 2024 and annually thereafter	No	the current MoU Training Document was sent out to all staff by the Benefits and Customer Services Manager. Staff were asked to acknowledge this document. This process will be continued on a regular basis as per the recommendations and a reminder schedule has been established.

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In line with the MoU, yearly refresher training should be conducted on data protection and responding to data breaches.	A training document has been produced. This will be issued to all staff, and we will use meta compliance to confirm that staff have read and understood the conditions.	31 January 2024 and annually thereafter	No	The identified risk relates to data protection and data breach response. Whilst generally organising such training would be the responsibility of the Information Governance Team, work is currently underway within Customer and Digital Services, to create a dedicated cyber security training plan for operation across the Council. General Data Protection training and breach response is a part of the proposed training and this recommendation is being addressed as part of that initiative.
The EAS spreadsheet needs updating as this refers to officers who either no longer work for the organisation or officers who have transferred to other service areas.	The up-to-date version had been saved on a desktop and had not, therefore, been made available for the audit. This has been addressed and staff have been advised not to save items locally.	Completed at the time of the final report being issued.		
Yearly refresher training on Searchlight data should be given to Benefits staff, as outlined in MoU.	A training document has been produced. This will be issued to all staff, and we will use meta compliance to confirm that staff have read and understood the conditions.	31 January 2024 and annually thereafter	No	Whilst it was not possible to push out the Searchlight Refresher training as planned using Meta Compliance, the current MoU Training Document was sent out to all staff by the Benefits and Customer Services Manager. Staff

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				<p>were asked to acknowledge this document.</p> <p>This process will be continued on a regular basis as per the recommendations and a reminder schedule has been established.</p>
<p>All members of the Benefits team should read the MoU and sign a declaration form to acknowledge that they understand their role and responsibilities. This should be done on a yearly basis, in line with the MoU updates.</p>	<p>The MOU contains information that is not relevant to all staff. There is a risk that in giving them the full MoU to read, emphasis on the relevant areas will be lost. Therefore, a training document has been produced. This will be issued to all staff, and we will use meta compliance to confirm that staff have read and understood the conditions.</p>	<p>31 January 2024 and annually thereafter</p>	<p>No</p>	<p>Whilst it was not possible to push out the MoU as planned using Meta Compliance, the current MoU Training Document was sent out to all staff by the Benefits and Customer Services Manager. Staff were asked to acknowledge this document.</p> <p>This process will be continued on a regular basis as per the recommendations and a reminder schedule has been established.</p>
<p>Reminders relating to the confidentiality of information obtained through the DWP should be regularly issued to the benefits team.</p>	<p>A training document has been produced. This will be issued to all staff, and we will use meta compliance to confirm that staff have read and understood the conditions. Confidentiality will also be put on the team meeting agendas.</p>	<p>31 January 2024 and annually thereafter</p>	<p>No</p>	<p>The current MoU Training Document was sent out to all staff by the Benefits and Customer Services Manager. Staff were asked to acknowledge this document.</p> <p>This process will be continued on a regular basis as per the recommendations and a reminder schedule has been established.</p>

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Website Management				
The link to the Government Digital Services training exercise no longer works and therefore should either be removed or updated on the Intranet.	Will fix or replace with suitable link.	Completed at the time of the final report being issued.		
Web authors should be reminded to make sentences twenty-five words or less, where possible.	Communications to be sent to all website authors by email and also added to the intranet guidance.	End of January 2024	No	The requirement to improve readability has been communicated to all web authors and the Plain English page has been updated on the intranet.
Staff should be reminded to check hyperlinks, as several links were found to be broken on the website.	Checking and fixing links via the Monsido checker to be carried out more often to fix broken links. Communications sent to web authors with information about how to check for broken links and a reminder to keep their pages up to date.	End of January 2024	No	A message has been sent to all web authors via Teams.
The Website Accessibility Policy should be reviewed and updated where necessary, as this has not been performed since September 2020.	Website to be audited by an external company in January 2024. The Accessibility Policy will be updated with the findings.	March 2024	Yes – May 2024	The accessibility audit has been completed but there has been no time to go through the results and translate this into the Accessibility Statement / Policy.
Staff should be reminded to check the readability score of their content and edit content where appropriate.	Review of hard to read pages using the Monsido software and sending results to teams for review. Reminder	March 2024	No	The requirement to improve readability has been communicated to all web authors and the Plain

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	included in an email to website authors.			English page has been updated on the intranet.
The Accessibility Statement should be updated, as this has not been reviewed since 3 March 2022 and still refers to 2022 deadlines.	Website to be audited by an external company in Jan 2024. Accessibility Statement will be updated with the findings.	March 2024	Yes – May 2024	The accessibility audit has been completed but there has been no time to go through the results and translate this into the Accessibility Statement / Policy.
A discussion regarding the contract spending limit should be held with the Procurement team.	To review budgets and spending and discuss with Procurement.	March 2024	No	The Website Service Manager had a meeting with procurement about the website budget and contract. The contract was set up with a 2-year initial period, followed by two optional year extensions (+1+1). Because the final year isn't set in stone and agreed, the budget limit doesn't include this in the figures. Once the contract extension has been agreed and signed, the contract limit will be altered to reflect the additional year.
Housing Rent Collection				
The Friday and Monday Process procedure notes should be updated to reflect job posts as opposed to officer names, as these refer to officers who no longer work for the organisation or who have transferred roles.	Procedure to be reviewed and updated.	Completed at the time of the final report being issued.		

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Staff should be reminded to issue quarterly rent statements in arrears cases, if this cannot be done automatically through Active H.	To be included on next team meeting agenda.	End of February 2024	No	Actioned at January's team meeting.
Staff should be advised to issue broken agreement letters, where relevant.	To be included on next team meeting agenda.	End of February 2024	No	Actioned at January's team meeting.
Staff should complete income and expenditure forms where tenants have failed to uphold payment agreements due to financial difficulties.	To be included on next team meeting agenda.	End of February 2024	No	Actioned at January's team meeting.
Payment agreements should be confirmed in writing to tenants via text or email from the communications module on RentSense.	To be included on next team meeting agenda.	End of February 2024	No	Actioned at January's team meeting.
Change Management (2022/23 Audit)				
The Change Management Policy should be reviewed as soon as possible and at regular intervals thereafter.	<p>Original: The Change Management policy does require a review as it was last looked at when we were merging. We will review the policy in context of best practice and bring this back to SLT for approval.</p> <p>Update (November 2023):</p>	February 2024 (Previous Target Date of 3 November 2023)	Yes – August 2024	<p>Work toward a revised change management policy has not been completed due to other priorities within the service, which have drawn the attention of officers away from this.</p> <p>The Change Policy is prioritised for updating and will be completed as</p>

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	<p>Updates to the Change Management Policy have not been completed yet due to resourcing limitations within Customer and Digital Services. However, work toward a revised Change Control process is underway and will be completed shortly.</p>			<p>soon as possible. A draft policy has been created, but has not yet been circulated to stakeholders for consideration, ready for confirmation by SLT or the ICT Steering Group if this is established before the recommendation is completed.</p> <p>An extension to this action is requested.</p>
<p>The Council should implement a formal Change Advisory Board, ensuring that it has an agreed Terms of Reference, representation from across all Council service areas and documented roles and responsibilities. The CAB meetings should be held on a regular basis ideally (for example, quarterly), but at least on an extraordinary basis depending on amount of change backlogs.</p>	<p>Original: A fully dedicated change advisory board many not be possible for the organisation, purely down to the amount of time and resource that would be needed. However, there is a need for greater accountability and visibility of change management processes, particularly for higher profile changes which hold greater risk. As such, the functions of a CAB could be integrated with a reformed ICT Steering Group.</p> <p>Update (November 2023): Work towards implementing a change advisory board has not been completed yet due to resourcing limitations within Customer and Digital Services. However, work is</p>	<p>February 2024 (Previous Target Date of 3 November 2023)</p>	<p>No</p>	<p>A formal change advisory board has not been established. However, responsibility for consideration of changes in an ICT context has been included in the Terms of Reference for a revised ICT Steering Group. This is due for consideration by SLT on 16th May 2024.</p> <p>If approved, the ICT Steering Group will act as a Change Advisory Board. If it is not approved, then there is corporate acceptance of the risks associated with not having a Steering Group (or CAB) in place and no further action will be taken.</p>

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	progressing and will be completed imminently.			
<p>The Council should implement a process whereby improved change request monitoring reporting is designed and implemented. These might include (but not be limited to) the following:</p> <ul style="list-style-type: none"> • Aging of change requests broken down into regressive time periods, to detect change records that have exceeded specific KPIs in this respect. • New changes for specific time periods. • Resource time allocations to changes, to detect allocation overruns where changes are more challenging to implement. • Change request age (the time between the initial record being raised to the request being closed). • Changes awaiting approval. <p>All these examples will require agreed KPIs or other suitable metrics for them to be adding value to the service.</p>	<p>Original: Agreed – this will be addressed as part of reviewing the Change Management Process.</p> <p>Update (November 2023): Updates to the Change Management Policy have not been completed yet due to resourcing limitations within Customer and Digital Services. However, work is progressing and a revised change reporting process will be completed.</p>	<p>February 2024 (Previous Target Date of 3 November 2023)</p>	<p>Yes – August 2024</p>	<p>Work toward a revised change management policy has not been completed due to other priorities within the service, which have drawn the attention of officers away from this.</p> <p>The Change Policy is prioritised for updating and will be completed as soon as possible. A draft policy has been created, but has not yet been circulated to stakeholders for consideration, ready for confirmation by SLT or the ICT Steering Group if this is established before the recommendation is completed.</p> <p>An extension to this action is requested.</p>

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<p>The Council should update the email template used (to have the business authorise the next steps in the change cycle) to include an explicit option for having the service area confirm that their business process documentation has been updated as required and that relevant training on the new processes has been delivered.</p>	<p>Original: Agreed – this will be addressed as part of reviewing the Change Management Process.</p> <p>Update (November 2023): Updates to the Change Management Policy have not been completed yet due to resourcing limitations within Customer and Digital Services.</p>	<p>February 2024 (Previous Target Date of 3 November 2023)</p>	<p>Yes – August 2024</p>	<p>Work toward a revised change management policy has not been completed due to other priorities within the service, which have drawn the attention of officers away from this.</p> <p>The Change Policy is prioritised for updating and will be completed as soon as possible. A draft policy has been created, but has not yet been circulated to stakeholders for consideration, ready for confirmation by SLT or the ICT Steering Group if this is established before the recommendation is completed.</p> <p>An extension to this action is requested.</p>
<p>The Council should document an appropriate data retention policy covering the data processed by the system. Alternatively, a Data Protection Impact Assessment should be undertaken on ServiceDesk to analyse the potential data processing risks associated with the system.</p>	<p>Original: Most of the information retained within Change Control records does not detail individuals – other than the details required to process changes, such as an authorising managers name and email. As such, the privacy impact of our data retention is minimal. However, it is appropriate that information is not kept in perpetuity, particularly when systems</p>	<p>February 2024 (Previous Target Date of 3 November 2023)</p>	<p>No</p>	<p>Whilst the revisions to the Change Management process has not been completed, ICT have undertaken a DPIA of the Helpdesk Software in line with the recommendations and have acknowledged the low risk of data processing in relation to change requests.</p>

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	<p>are decommissioned and never reused. This will be addressed as part of reviewing the Change Management Process.</p> <p>Update (November 2023): Updates to the Change Management Policy have not been completed yet due to resourcing limitations within Customer and Digital Services. However, work is progressing and a DPIA for the Change Control process will be completed.</p>			
<p>The Council should implement a process whereby all existing standard changes are reviewed on a regular basis to help ensure that it remains appropriate for them to keep that status. In addition, a new process should be implemented in support of this by identifying the potential for new standard changes.</p>	<p>Agreed – each standard change will be reviewed and a “review by” date included within the documentation or a “review trigger”.</p>	<p>1 March 2024</p>	<p>No</p>	<p>Existing Standard Changes are being reviewed and transposed onto a revised template document. This includes fields for "next review" and "review trigger". Given that some standard changes might not be carried out for some time, reviews are being undertaken as processes come up for use. This is the only way the team can resource the workload.</p>
<p>Emergency Planning and Business Continuity Management (2022/23 Audit)</p>				
<p>The Council’s main Business Continuity Plan should be reviewed and brought up to date.</p>	<p>Original:</p>	<p>5 February 2024 (Previous</p>	<p>No</p>	<p>The current plan has now been updated in line with the recommendation. The updated</p>

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	<p>The plan will be updated and brought in line with the recently-reviewed Emergency Management Plan.</p> <p>Update (November 23): Can the completion date be change to the next quarter please. The responsible officer wasn't aware the plan was being audited until after the due date.</p> <p>Update: (January 2024): The responsible officer was off sick for two weeks in December and on leave for two weeks so will need a further four weeks to complete.</p>	Target Dates of September & December 2023)		version (in a new format) will be presented to SLT by the end of April for it to be formally adopted.
Aids and Adaptations				
The use of the Ian Williams contract for non-Bathroom aids and adaptations should be discussed with the Procurement team to ascertain whether it is appropriate.	This will be discussed with the Procurement Team.	February 2024	No	The Ian Williams contract has been amended to include these other works.
Corporate Health and Safety (2022/23 Audit)				
All staff issued with a mobile phone should be reminded to update the details on the staff search function in line with the lone worker policy.	All staff mobile phones are due to be replaced by the end of the next financial year, and as part of that replacement process, records of staff	March 2024	No	ICT have now taken over the process for ordering and managing mobile phones. Contact numbers are now entered into Active Directory automatically, which

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	numbers on the intranet will be updated.			subsequently updates the individuals contact details on the intranet and within Teams.
Corporate Properties Repair and Maintenance (2022/23 Audit)				
Phase 2 of the implementation of CI Anywhere should be actioned as soon as possible enabling invoices raised through Active H to be linked to the relevant contract on CI Anywhere.	The contract with Technology One will be extended by one year as additional support is needed for the contract with CI Anywhere, this includes phase 2 of the implementation.	March 2024	No	The budget has been approved for the one-year extension as part of the 2024/25 budget setting process. It has been agreed that the extension will commence from June.
VAT Accounting				
The VAT reference manual should be reviewed.	SFM to work with AA to find capacity to update VAT manual, including all statutory updates and to then publish on the intranet.	March 2024	Yes – September 2024	Priorities have been on completing the shutdown for three different financial years. Additional resource will be placed into this team to provide resilience for the AA who deals with VAT.
VAT details, if not included on receipts, should be available on request to customers. This was also a recommendation in the previous audit of VAT Accounting.	To advise service areas to have VAT receipts available where possible and ensure that signposting to the intranet to inform the VAT registration number is available (and to update the internet is updated).	March 2024	Yes – September 2024	Priorities have been on completing the shutdown for three different financial years. Additional resource will be placed into this team to provide resilience for the AA who deals with VAT.
Bereavement Services				

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<p>Mandatory training should be given to all staff, as outlined in the training matrix.</p>	<p>Original: Timescales for this will vary depending on the individual needs of the member of staff and the availability of courses or internal facilitator.</p> <p>Updates (November 2023): Two colleagues required cremator training. One passed the course on 17.09.23. The second colleague will start the training in the new year with completion anticipated by end of March 2024. It would not have been possible to complete the cremator training for both colleagues by the original deadline. (BSAM)</p> <p>As at 08/11/23, 80% of all bereavement staff are qualified. To maintain robust service provision under "business as usual" conditions, including holiday and sickness cover, 30% is adequate.</p> <p>Qualifications are included as essential criteria in job descriptions and on the training matrix, timescales to achieve qualification are dependent upon normal job role. Jobs are career graded with this</p>	<p>March 2024 (Previous Target Date of 31 October 2023)</p>	<p>No</p>	<p>It's always a moving feast, so last year we trained two people. This year we have two people who we'll train, and of course if we have any other changes in staff we'll train them too.</p> <p>As we do this training in-house there are resource implications for us to deliver this training beyond the actual cost so we programme it in depending on the job role of the person needing the training.</p> <p>It is a feature in all the JDs to ensure we have business continuity (just in case we have another pandemic) and greater flexibility for our six-day working rota, but if we have a new technician they will take a precedence for training as it is the majority of their duties compared to if we have a new bereavement officer as it is a feature of their work rather than the majority of their duties.</p> <p>It's entirely possible that, regardless of when you might audit us we would be in a position of having someone either in the process of being trained or waiting</p>

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	qualification representing a grade boundary milestone. (BSDM)			to be trained, depending on what recruitment has taken place, we would balance this with other training needs. In days gone by we only had two trained operators, whereas now we have eight / ten plus one casual so, even if we didn't train the others, we'd still be in a much better position than we've been in historically.
Banking Arrangements				
Ethical procurement aspects should be considered in the risk register.	<p>Original: The Council's investment counter-party criteria identifies countries that the Council is happy to accept, and the Council's bank provider would be a UK-based subsidiary or company. The risk register will be reviewed in October and then on a quarterly basis.</p> <p>Update (November 2023): Due to the ongoing external audit and other workload pressures this review hasn't taken place and will have to be deferred until the consideration of the 2024/25 Annual Treasury Management Strategy</p>	March 2024 (Previous Target Date of October 2023)	Yes – September 2024	Procurement have advised we need to take a report to Cabinet to get approval, as the two-year contract extension, taken with the original contract, exceeds the £50k limit the S151 has.

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	Statement report to Council, to be approved by 31 March 2024.			
Management of Contracts				
Service area managers should be reinforcing the importance of ensuring that contract documentation is retained and stored appropriately by contract owners.	The Senior Leadership Team will be reminded of the importance of retaining and storing documentation appropriately, and within the Finance System where practically possible. We will also look at how we can share a reminder through other mechanisms with contract owners, such as meta-compliance and managers forum.	March 2024	No	<p>A contract module has been developed to support Officers in managing, administering and delivering their own contracts on behalf of WDC. This module ensures:</p> <ul style="list-style-type: none"> • The correct contract information is recorded for the quarterly contract register. • Spend against contract is tracked in real time. • Contract changes, renewals and extensions follow appropriate governance. • All contract information, documentation and communications are kept in one location. <p>SLT are leading on this requirement and the SLT Procurement subgroup have agreed that it will be mandatory for relevant Officers to have access to Ci Anywhere and undertake a training session regarding use of</p>

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				this module. Training will take place over June and July

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Void Management				
Performance relating to void properties needs to be regularly discussed with the Compliance team.	Agreed.	March 2024	No	As of 02/04/2024, this is now a standard agenda item on the Housing / Assets monthly meetings as agreed with the Head of Housing.
Treasury Management (2022/23 Audit)				
The Treasury Management Practice documents should be reviewed to ensure that they are complete and up to date.	<p>Original: The TMPs will be reviewed as soon as time permits.</p> <p>Update (April 2023): These have been significantly re-written but need the S151 Officer to review a number of points Once comments have been received, time will be needed to amend the documents accordingly.</p> <p>Update (October 2023): The Strategic Finance Manager and the Principal Accountant will arrange a meeting with the Head of Finance soon about the updated Treasury Management Practices the Principal Accountant did in February, as he needs to agree what has been said regarding the S151 Officer's responsibilities which are based on</p>	March 2024 (Previous Target Dates of March, September and December 2023)	Yes – June 2024	The Treasury Management Practices are still in draft as they require the formal acceptance from the Head of Finance, as they to add to his (and the Strategic Finance Manager's) responsibilities. However, priorities have been on completing the closedown for three different financial years.

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	<p>the CIPFA recommendations. It's never quite got to the top of priorities give the external audit situation, change of Council, etc.</p> <p>Update (January 2024): A Treasury Management Policy Statement was included in the Annual Treasury Management Strategy Statement 2023/24, at Appendix A, adopted by Council in March 2023.</p> <p>This statement will also be included in the Annual Treasury Management Strategy Statement 2024/25 currently being drafted for Cabinet on 6 March 2024 (for Council on 20 March 2024).</p>			
Allocations, Nominations and Lettings (2022/23 Audit)				
The Housing Needs Risk Assessment should be updated.	<p>Original: Agreed.</p> <p>Updates (August 2023): There have been discussions regarding the need for separate risk assessments for the different types of housing visits, with the decision taken that there only needs to be one. There is a Landlord Services risk assessment that is still within the</p>	March 2024 (Previous target dates of April, October and November 2023)	No	Home visit Risk assessment updated by the Health & Safety and Premises Manager. All actions related to the Covid pandemic now deleted as no longer a significant risk.

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	<p>review period, although this still makes reference to visits during COVID so needs to be updated accordingly. However, the reviewing officer is currently unavailable so this has been left with her line manager (Landlord Operations Manager) to follow up.</p> <p>Subsequent discussion with the Landlord Operations Manager confirmed that he had now been assigned as the reviewer for the relevant risk but did not have the relevant access to AssessNet to enable him to update the assessment. This was to be flagged with the Health and Safety and Premises Manager</p> <p>Update (November 2023): The Landlord Operations Manager and the Housing Needs Manager have sought access to AssessNet and have also requested training via the Health & Safety and Premises Manager so that the Risk Assessment can be reviewed and updated.</p> <p>They are awaiting a response from the Health & Safety and Premises Manager so it's difficult to advise of a</p>			

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	<p>new target date. However, it is appreciated that this has been outstanding for a while and the Housing Needs Manager is keen to complete this action as quickly as possible. He is hopeful to be able to complete by end of the month but I am reliant on access and training to be provided.</p> <p>Update (February 2024): The risk assessment that was previously in place related to visits curing COVID and is no longer applicable. Another risk assessment in place for visits performed by a different Housing team (Lifeline) will either be adapted to make it applicable for all Housing staff performing visits (following discussion with the member of staff 'responsible' for this assessment) or a new one will be drawn up for the relevant Housing officers.</p>			
Community Infrastructure Levy and Section 106 Agreements				
Staff should be reminded to check and verify s106 contribution calculations and	Agreed.	March 2024	No	Audit recommendation both discussed via Teams call after draft report was issued and with follow

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upload evidence of these to the network files.				up e-mail upon receipt of final report.
Officers should remind the Legal team drafting the s106 agreements to include the instalments to be paid.	Agreed.	March 2024	No	Required action undertaken 19/02/2024.
National Non-Domestic Rates				
Review the identified refunds to ascertain whether interest payments need to be made.	The three identified were looked at and interest was refunded in two of the three cases. In the other case, the overpayment was not due to the change in rateable value, so no interest was due.	Completed at the time of the final report being issued.		
Remind staff of the need to check whether interest payments are due when processing refunds.	Schedules have been moved now to ones where the Team Leader and senior officer are in, so they can be checked straight away before any interest is or is not awarded. We will also cover the criteria again with staff and some notes have been produced with scenarios to help them decide if interest is paid or not.	Completed at the time of the final report being issued.		
Loans to External Organisations				
The payment schedule for the Newbold Comyn Arms loan	The repayment schedule has now been amended to show the correct	Completed at the time of the final report being issued.		

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should be amended to ensure that future invoices are raised against the correct code and that the income received to date is journalled to the correct code.	code, the invoice for 2024/25 has been coded to the correct code and a journal has been processed to correct the 2023/24 miscoding.			
Fire Safety and Prevention Contracts				
Ensure that the Building Safety Lead and the (new) Fire Safety Lead are provided with all relevant information before the Principal Building Surveyor leaves his post.	An appropriate handover process was followed prior to the departure of the Principal Building Surveyor.	Completed at the time of the final report being issued.		