

CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 3 2015/16

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Administration of Housing Benefit & Council Tax Reduction: Administration & Assessment – 21 Dec 2015		
The Risk Based Verification evidence schedule should be updated to highlight the requirement that payslips and other documentary evidence of employment should include the name of the employer.	<p><i>Benefits & Fraud Manager:</i></p> <p>The schedule will be updated, although it is noted that there will be occasions when employer's details may not be shown on payslips.</p> <p>In the highlighted case, the pay amounts were verified to the bank statements provided.</p> <p>TID: End of January 2016.</p>	The schedule has been updated.
Backdated claims should have appropriate evidence to support the decisions reached.	<p><i>Benefits & Fraud Manager:</i></p> <p>This already happens.</p> <p>In the highlighted case, there was a very short backdating period and the Benefits & Fraud Manager considered the justification provided was satisfactory.</p> <p>TID not applicable.</p>	Recommendation addressed – no further response necessary.
The frequency of the review of high risk claims should be set proportionate to risk e.g. six-monthly intervals.	<p><i>Benefits & Fraud Manager:</i></p> <p>Agreed. Future relevant dates are being diarised on the system so that cases can be reviewed when necessary.</p> <p>TID: Ongoing.</p>	Completed, review dates set after considering both the circumstances of the claim and level of risk.

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The RBV document should be updated to include evidence requirements for claimants in receipt of weekly war pension or war widow's pension.	<i>Benefits & Fraud Manager:</i> Agreed. The schedule will be updated as suggested. TID: End of January 2016.	Completed, schedule updated.
Royal Pump Rooms (including Art Gallery) – 31 December 2015		
The petty cash imprest should be reduced to £50 and the balance returned to the FS Team in Finance and paid in.	<i>Heritage and Arts Manager:</i> A member of the AG&M staff has been in touch with the FS Team to arrange to reduce the petty cash imprest from £300 to £50. Finance will reimburse recent expenditure to restore the petty cash float to £300; £250 will then be returned to Finance to leave a petty cash imprest of £50. 29 January 2016.	£250 Petty cash returned to Finance on 2/2/16 – leaving £50 at RPR.
Art Gallery staff should liaise with Finance staff to agree what information they need in order to be able to perform worthwhile monitoring of takings and bankings.	<i>Heritage and Arts Manager:</i> A member of staff from Finance will visit the AG&M on 26 January to discuss VAT issues and agree what additional information is required for more effective monitoring of takings and bankings. 26 January 2016	Sharon Luke and Rob Cappleman met with Gary Walker on 9/2/16 in response to the recommendation from the audit.

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<p>The Heritage and Arts Manager should ensure that staff are aware of and apply the correct room hire charge.</p>	<p><i>Heritage and Arts Manager:</i> All AG&M staff have been instructed to ensure that the current rate (as of 1 January 2016) is applied for the hire of the Craft Studio / Education Room. To ensure that staff are aware of future changes to the hire charge it has been agreed that the Culture Business Support Team will advise AG&M staff of changes after the council's fees and charges report in the autumn. TID: 19 January 2016</p>	<p>Recommendation addressed – no further response necessary.</p>
<p>Outdoor Recreation Facilities – 4 November 2015</p>		
<p>The hours and duties of attendants should be formally agreed with the contractor and documented as such.</p>	<p><i>Green Space Development Officer:</i> I hadn't forgotten about it, I am in the process of formalising with The Landscape Group and aim to have this done over the next couple of weeks.</p>	<p>Completed. A document has been produced and agreed between parties and includes hours and duties of attendants.</p>

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<p>Consideration should be given to negotiating a concession arrangement for the operation of the tennis courts at Victoria Park.</p>	<p><i>Events Manager:</i> Initial discussions have taken place with the director of VP Tennis to revise the current Service Level Agreement. Officers are proposing to end the current arrangement of collecting cash on behalf the Council for casual public use. Rental charges would be increased to compensate for the loss of monies to the council. This action would eliminate any risk relating to a third party collecting monies on behalf of the council. TID: New lease date to commence on April 1st 2016.</p>	<p>A new licence has been drafted with input from Warwickshire Legal Services and the Lawn Tennis Association. At this point we are waiting for the Licensee to sign the agreement, which would see the financial arrangement change to a rental charge at the beginning of the financial year 2017. This new arrangement addresses the previous concerns about charging and counter charging and validity of recharges between the licensee and the Council.</p>
<p>The application form for a track season ticket should be printed showing the correct discount for the winter season.</p>	<p><i>Events Manager:</i> Update administration documents to accurately reflect the fees and charges. TID: Completed November 2015.</p>	<p>This has been completed – the application shows the correct price.</p>
<p>Invoices should be raised on a regular basis throughout the year preferably monthly.</p>	<p><i>Events Manager:</i> A standard timeframe for invoicing will be introduced and adhered to, thus ensuring billing takes place monthly where possible. TID: April 2016 onwards.</p>	<p>A review of the invoicing procedures has taken place and monthly invoicing is now the standard practice where possible. Further progress is scheduled for next year when further work will be undertaken with some remaining clubs align themselves with the new procedures.</p>

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<p>The Events Manager should consult the Insurance and Risk Officer concerning the insurance implications of track and football pitch hire.</p>	<p><i>Events Manager:</i> Every club that has applied to hire our pitches plays in a league which is affiliated with the Birmingham County FA. As a result every club has to be affiliated to the County FA as a condition of entry to the league. One of the mandatory terms of affiliation with the County is insurance requirement for the club <i>"It is important to organise appropriate insurance for players in case of accident or injury. This is a mandatory condition of membership to Birmingham FA"</i> http://www.birminghamfa.com/get-involved/club-information/newclubs#O7PKj34vFpp7rDyj.99 Therefore the clubs have to have insurance for the fixture to be sanctioned by the league, so the need for WDC to enforce the requirement to produce evidence is not required. Where appropriate, evidence of insurance certification will be requested from clubs prior to agreement of track hire bookings. TID: November 2015.</p>	<p>The initial response remains valid, the County FA hold these details on file.</p> <p>Having spoken with the Insurance & Risk Officer we can confirm that we will commence the process of requesting public liability insurance from all hirers of the track (minimum £5m) and this will start this week (7 Nov). This process will also be built into the track booking forms for the 2017/18 season.</p>

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The three license fees for fishing rights in the District should be reviewed.	<i>Estates Manager:</i> I aim to complete this by end of Feb 2016. TID: As stated above.	Completed.
The effect of the mistreatment of VAT for Emscote Angling Co-op should be corrected.	<i>Estates Manager:</i> I aim to resolve this by end of Feb 2016. TID: As stated above.	Completed.
The Events Manager should consult with the relevant accountant concerning the correct application of VAT to outdoor recreation income.	<i>Events Manager:</i> Investigate the reason for errors, put in required measures to ensure future compliance with VAT application. Monitor and review at regular intervals. TID: November 2015 onwards.	Constant liaison with Development Services accountant to ensure errors don't occur.
St Nicholas Park Leisure Centre – 16 December 2015		
All orders placed should be fully and accurately priced as far as possible and include carriage.	<i>Operations Manager:</i> Operations Manager to ensure that carriage charges are included where applicable on all orders. TID: With immediate effect.	Staff who are responsible for raising orders have received training where appropriate. Managers are not aware of any further errors of this nature occurring to date.

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Amendments should be made to staff payments to correct the issues identified.	<p><i>Area Manager:</i> All leisure centres are being transferred onto "self-serve" i.e. electronic timesheets. This will be in place at all sites. This would account for the apparent errors, as the Operations Manager would have entered correct details on the system, as opposed to the detail entered on the timesheets by the individuals. TID: End of January 2016.</p>	The roll out of Self-Serve has now been fully adopted by all leisure facilities. The system is more robust and allows for more rigorous checking.
Staff should be reminded of the need to ensure that shift sheets are signed-off appropriately by two members of staff.	<p><i>Operations Manager:</i> Memo to staff reminding them of the financial procedures for the site. Training session for all reception and supervisory staff to ensure accuracy. TID: 31/12/15.</p>	The Operations Manager circulated a memo and has raised the issue in team meetings. Regular checks take place by the Operations Manager
Staff should be reminded of the need to ensure that refunds and voids are processed by supervisors, independently of the staff member who had processed the original transaction, with the receipts being signed off to confirm that this has been performed appropriately.	<p><i>Operations Manager:</i> Memo to staff reminding them of the financial procedures for the site. Further training to be given to all reception and supervisory staff to ensure accuracy. TID: 31/12/15.</p>	The Operations Manager circulated a memo and has raised the issue in team meetings. Regular checks by the Operations Manager take place.

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<p>Efforts should be made to ensure that folios include an appropriate amount of detail and that all invoices are raised at the correct rates.</p>	<p><i>Operations Manager / Sports Facilities Area Manager:</i> To ensure all staff that complete folios are suitably trained. A sample document to be introduced, outlining the required information to be produced. Operations Manager to then arrange training. TID: 31/12/15.</p>	<p>Staff training has taken place for the staff responsible for invoicing. The Operations Manager is confident that more detail is now being included on the folios as appropriate</p>
<p>Gym membership cards should be issued in sequential order.</p>	<p><i>Operations Manager:</i> Memo to staff reminded them of the need to issue cards correctly. Introduce weekly stock check on cards, agree level to be kept in till, to ensure replacements are sequential. Business Support Manager to monitor sheets when submitted to RSH and flag up non-compliance with Sports Facilities Area Manager. TID: 31/12/15.</p>	<p>New process in place. Log sheets typed to help ensure greater accuracy. Area Manager conducts regular spot checks.</p>
<p>Staff should be reminded of the need to complete the membership card log sheets in a legible manner.</p>	<p><i>Operations Manager:</i> Investigate with Business Support Manager with regard to placing spreadsheet on the computer. TID: 21/12/15.</p>	<p>Still paper based, but numbers are typed in advance to reduce amount that needs to be written.</p> <p>No further work planned on this given the start of the new leisure operator in 2017. Work to introduce a computer based process is not deemed appropriate at this stage.</p>

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Castle Farm Recreation Centre & Abbey Fields Swimming Pool – 29 October 2015		
All orders should be raised in a timely manner.	<p><i>Operations Manager:</i> Some of the orders that were placed after the invoice had been received relate to services that are provided by Housing and Property Services. The remaining orders relate to a supplier that the Centres have a call off contract with (SRS Leisure). Order requests are submitted by the centre and all invoices are paid for centrally by the Business Support Team. The contract has annual value of £20,000. TID not applicable.</p>	Staff who are responsible for raising orders have received training where appropriate.
All orders placed should be fully and accurately priced as far as possible and include carriage.	<p><i>Operations Manager:</i> The Operations Manager is to ensure that carriage charges are included where applicable on all orders. TID: With immediate effect.</p>	Recommendation addressed – no further response necessary.
Procurement options should be reviewed with regards to the purchase of goods that is currently undertaken with J P Lennard Ltd, to ensure that value for money is being obtained.	<p><i>Sports Facilities Area Manager:</i> The Sports Facilities Area Manager has discussed this with the Procurement Manager in order to identify a supplier from a framework that can be used to replace JP Lennard Ltd. TID: 30 November 2015.</p>	Recommendation addressed – no further response necessary.

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<p>Management should consider whether the staff payments should be recoded or whether to take an overall view of staffing costs across the leisure centres until the coding issues can be properly resolved.</p>	<p><i>Sports Facilities Area Manager:</i> This has been a corporate issue managed by HR and Payroll colleagues. Recent progress has resulted in most issues being resolved. This issue will finally be concluded once all staff transfer to self-service. Staff will then submit their hours electronically from the site they have worked at and the manager for that site will approve all claims. A decision has been taken to not to spend any further time revising April – September data, with accurate information hoping to be obtained on the system from the October payroll. TID: 31 December 2015.</p>	<p>The roll out of Self-Serve has now been fully adopted by all leisure facilities. The system is more robust and allows for more rigorous checking.</p>
<p>Staff should be reminded of the need to ensure that refunds and voids are processed by supervisors, independently of the staff member who had processed the original transaction, with the receipts being signed off to confirm that this has been performed appropriately.</p>	<p><i>Operations Manager:</i> A memo will be sent to staff reminding them of the financial procedures for the site. TID: 31 October 2015.</p>	<p>The Operations Manager circulated a memo and has raised the issue in team meetings. Regular checks by the Operations Manager take place.</p>
<p>A member of centre staff should be present during the emptying of the weighing machine to verify the cash counted.</p>	<p><i>Sports Facilities Area Manager:</i> The weighing machine gets emptied once or twice a year and the income received is very low. Consideration is, therefore, to be given to removing them from all sites. TID: 30 November 2015.</p>	<p>All weighing machines are now in the process of being removed.</p>

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Staff should be reminded of the requirement to keep the safe locked at all times when not in use.	<i>Operations Manager:</i> As per 4.54 above. TID: 31 October 2015.	Staff had been made aware of the issue directly following the report. No further incidents have been witnessed by the Operations Manager since.
Efforts should be made to ensure that folios include an appropriate amount of detail and that all invoices are raised at the correct rates.	<i>Operations Manager:</i> It will be ensured that all staff that complete folios are suitably trained. A sample document is to be produced as an aide memoire of how to complete folios. TID: 31 October 2015.	Staff training has taken place for the staff responsible for invoicing. The Operations Manager is confident that more detail is now being included on the folios as appropriate
The bookings made by the Tae Kwon Do club, Baginton Swimming Club and the 30+ Swimming Club should be looked into to ascertain whether the VAT criteria are being met and VAT charged accordingly.	<i>Operations Manager:</i> Further to confirming the issues with the Auditor, a memo will go to all staff that complete folios regarding the correct application VAT. TID: 31 October 2015.	The Area Manager completed a check on the clubs identified and was able to confirm that they were eligible for VAT.
Staff should be reminded of the need to accurately complete all details on the membership card issue logs.	<i>Operations Manager:</i> A memo will be sent to staff reminding them of the need to record all financial data correctly. Completed log sheets are returned on a monthly basis to the Business Support Manager who monitors completion. TID: 31 October 2015.	The completed logs are now routinely sent to Business Support. The area Manager conducts regular spot checks.

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The income budget for the resale of stock items should be reviewed to ensure that it is in line with known income levels.	<p><i>Sports Facilities Area Manager:</i></p> <p>The current contract with SRS is meant to help the sites achieve their income targets. At next meeting with SRS, we will discuss how they can improve displays and product ranges.</p> <p>TID: 5 November 2015.</p>	The future plans of the Leisure facilities will result in a wind down in resale at all facilities. Orders will be minimal or non-existent up until June 2017, when the facilities will be outsourced to a private operator.
Building Control – 31 December 2015		
References to discontinued mitigation measures in the Development Services Risk Register should be identified and removed and the applicable risks re-evaluated as appropriate.	<p><i>Interim Head of Consortium:</i></p> <p>Risk Register to be reviewed.</p> <p>TID: End of Jan 2016.</p>	Implemented, Register Reviewed June 2016, and October 2016. To be reviewed Jan 2017.
Future reviews of the Development Services Risk Register should ensure that risk mitigation measures specified truly represent actual procedures being followed.	<p><i>Interim Head of Consortium:</i></p> <p>Risk register to be reviewed.</p> <p>TID: Quarterly.</p>	Implemented, Register Reviewed June 2016, and October 2016. To be reviewed Jan 2017.
Local Land Charges – 16 December 2015		
Responses to search requests should be sent out in a timely manner.	<p><i>Admin Support Manager:</i></p> <p>Responsible officer to go through CON290 with Team Leader to minimise handling and timescales.</p> <p>TID: December 2015.</p>	Recommendation addressed through actions within the team.

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Staff should be reminded of the need to ensure that all relevant tabs have been signed off before issuing the search responses.	<i>Admin Support Manager:</i> Meeting held to go through report and discuss issues such as this and the importance of completion. TID: Completed.	Recommendation addressed – no further response necessary.
Acolaid should be reviewed to ascertain whether reports can be produced showing search requests that have not been responded to.	<i>Admin Support Manager:</i> Officer being trained to write reports from the system to enable us to interrogate data better. TID: September 2016.	This has been reviewed and is now used to identify outstanding requests.
Staff should be reminded of the need to accurately plot the searches on the GIS system.	<i>Admin Support Manager:</i> Meeting held to go through report and discussion on importance of plotting and consequences of not doing it correctly. TID: Completed.	Recommendation addressed – no further response necessary.
Staff working on land charge searches should complete timesheets to allow for the costs of providing the service to be accurately calculated.	<i>Head of Development Services / Admin Support Manager:</i> Already being completed and costs are being reviewed to report to Executive. TID: January 2016.	Recommendation addressed – no further response necessary.
The Acolaid system and the council's website should be updated to show the correct fees, with these fees being charged to the customers.	<i>Admin Support Officer / Finance Officer:</i> Need to ensure the website and Acolaid provide the same information. TID: January 2016.	This has been completed.

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A review should be undertaken of the dates used in the performance monitoring reports to ensure that management are given accurate information.	<i>Admin Support Manager:</i> Meeting held to discuss processes and dates used in reports. TID: Completed.	Recommendation addressed – no further response necessary.
Cumulative figures should be included in the monitoring reports, with consideration being given to including details of any 'outliers' for further investigation.	<i>Admin Support Manager:</i> Reports to be reviewed with IT and Information & Improvement Officer. TID: March 2016.	The relevant monitoring reports now include cumulative figures.