CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 4 2017/18

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Sustainability & Climate Change – 29 March 2018		
Actions should be identified and recorded with the SOG action plan to address the performance target of having cleaner taxis within the district.	*Sustainability Officer:* Actions will be included in the SOG Action Plan. This will be agreed at the next SOG meeting in May. PID: May 2018	Implemented. An action in relation to electric taxis is included in the SOG action plan found on the SOG web page of the Intranet. This action is progressing.
Collection of Council Tax – 14 February 2018		
Details of the cases checked as part of the write off authorisation process (including the high value authorisations) should be recorded on the batch authorisation sheets.	*Exchequer Manager / Principal Revenues Officer:* Agreed – an instruction will be issued to appropriate staff. PID: February 2018	This now happens and checked cases are recorded on the signed authorisation sheets.
Documentation should be produced and retained to support all debts written off.	*Senior Recovery Court Officer:* Agreed – a reminder will be issued to appropriate staff. PID: February 2018	A full copy is retained within the spool manager on the Billing system and the signed paper copy is scanned and saved on the I drive.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Business Applications: PARIS Income Management System – 31 March 2018		
A procedure should be implemented for regular purging of income transaction import files in the PARIS working directory.	*Strategic Finance Manager / Principal Accountant (Capital & Treasury Management):* The feasibility of the recommendation will be investigated and implemented if practical. PID: September 2018	*Principal Accountant (Capital & Treasury Management):* It has been established that these files do not need to be retained longer than 7 years, so the pre 2011/12 folders have been deleted and more recent pre 2018/19 files have been sorted into annual folders. ICT are going to look at eventually automating that process (having confirmed that the files are moved to that directory once they have been processed, to avoid being posted a second time) but it may be some time before this happens. I will keep this under manual review until such time.
Management should formalise the user request process via the use of a user request form, to be used when requesting new users or changes to existing users access permissions. Forms should be retained to provide assurance that appropriate access rights have been granted to users according to their job role.	*Strategic Finance Manager / Principal Accountant (Capital & Treasury Management):* This will be addressed, alongside recommendation 4.5.1. A user request form will be prepared to reflect the revised access levels. This will denote the appropriate access level, manager approval and system administrator verification that all documentation and training has been issued and performed. PID: August 2018	After consideration it has been decided not to pursue this recommendation as it was low priority and will be a time consuming exercise requiring potentially costly assistance from Civica to achieve. In addition the lifespan of this system is potentially limited given the future procurement of a Financial Services System that hopefully will include the functionality provided by this system.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Management should consider documenting the role profiles in order to gain better visibility of the access rights assigned to each role and provide further assurance that the correct level of access is being assigned to users.	*Revenues Manager / Systems Administration Officer:* This will be addressed in line with 4.4.4. The system needs to be streamlined. Currently the roles identify individual requirements and are not of a generic nature. It is the intention of Finance management to reduce the number of profiles to ensure correct access rights are allowed to applicants based upon job description. This ensures any changes required are applied to all users correctly with a reduction of system admin time to manage profiles within the system. The issue will be raised with the system supplier (Northgate) to ensure that changes to existing roles will not have any adverse effect. PID: August 2018	Same response as above as the two recommendations are connected i.e. this recommendation is, as the initial response suggested, dependent on the action in relation to the recommendation above it.
A regular, at least annual, exercise should be undertaken to review users' access permissions within PARIS to ensure they remain appropriate.	*Revenues Manager / Systems Administration Officer:* To be done annually. PID: Annually in October	Annual review completed in September.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The purpose of the 'Administrator' account should be investigated and, if possible, the account should be renamed or deleted in order to remove the potential for misuse.	*Revenues Manager/ Systems Administration Officer:* To be suspended, alongside any other redundant generic user accounts. In line with Corporate IT policy, all users should have an individually assigned user name and password which must not be disclosed to any other individual either within the organisation or outside. PID: Completed	Completed. The 'Administrator' account was suspended in April 2018.
Testing of PARIS should be scheduled as part of the next disaster recovery testing exercise. The testing should be documented and include the time taken to recover systems and services, whether recovery time and point objectives have been met and include detail on any issues and actions arising from the testing.	*ICT Manager:* The next formal disaster recovery (DR) test is not for another twelve months. However, each month a system is recovered to our in-house standalone test environment which mimics the DR test. Therefore, the PARIS system will be recovered to this environment as part of the April '18 test. As per standard practice a helpdesk job will be raised and all relevant recovery data will be logged within the job and shared with the System Owner. PID: April 2018	Recommendation addressed: A test recovery of the PARIS income management system was successfully undertaken on the 27th March 2018 and recorded in the ICT Helpdesk Job Ref. 31954 – no further action required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Cyber Security – 16 March 2018		
ICT should review firewall password security parameters and ensure that all administrator password settings meet the Council's requirements around complexity.	*ICT Infrastructure Manager:* Accepted – The current password does meet the Council's password complexity standard, although it is accepted this is not enforced through the software control. The complexity parameter will be set. PID: April 2018	Recommendation addressed: The appropriate parameter has now been set – no further action required.
ICT should perform an exercise of reviewing and validating firewall rulesets. This should be performed on an at least annual basis to ensure firewall rules remain appropriately configured.	*ICT Infrastructure Manager:* Accepted – Sufficient data needs to be gathered to ensure that the deletion of a rule does not impact on the business. Once the data is gathered, legacy rules will be deleted and this will become an annual housekeeping task. PID: September 2018	• Recommendation addressed: An initial review of the firewall rules has been undertaken. In addition: • a monthly 'task' has been added to the Infrastructure checklist to check for redundant firewall rules and clear. • the server decommission checklist has a new step included to remove any redundant firewall rules. No further action required.
ICT management should aim to resolve/ mitigate the remaining ITHC issues in order to help ensure PSN certification is retained.	*ICT Infrastructure Manager:* The current ITHC reflected the security position 12 months ago. A new ITHC will take place w/c 19 March 2018. This will supersede the existing ITHC. ICT will, as per normal practice, evaluate and remediate as appropriate. PID: Complete – No further Action	Recommendation addressed: ICT commissioned an independent ICT Health Check in accordance with PSN requirements w/c 19th March 2018. The actions in this plan have been remediated and the PSN has granted WDC a PSN connection compliance certificate – no further action required

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
ICT management should perform an exercise to review the approach to administrator passwords, including investigation into the use of a software solution.	*ICT Infrastructure Manager:* Accepted – A new approach to admin passwords has been agreed and will be rolled out to all servers. The new approach removes the need to invest in a software solution. PID: Complete – No further Action	The new approach to admin accounts has been rolled out to all servers. Recommendation addressed.
ICT management should ensure that the generic administrator account is disabled and replaced with individually named administrator accounts.	*ICT Infrastructure Manager:* Accepted – The generic admin account has been disabled. PID: Complete – No further Action	Recommendation addressed – no further action required.
ICT should liaise with Sophos to identify and resolve the ANYA2 server issue and with business system owners to ensure the remaining servers are updated with Sophos EXP.	*ICT Infrastructure Manager:* Accepted – The ultimate resolution of this problem is outside the control of ICT Services. However, as per the recommendation, a support case has been raised with Sophos and will be followed through to conclusion. PID: Complete – No further Action	Recommendation addressed: The issue with ANYA2 and Sophos EXP has been resolved satisfactorily and this server is now protected - no further action required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Information Governance: Preparedness for General Data Protection Regulations – 9 March 2018		
A programme of targeted awareness raising events (workshops, short training courses/sessions, etc.) and updated communications for Council staff should be introduced at an early point once the new person is in post.	*Democratic Services Manager:* An awareness briefing session is being designed for roll out via meta compliance to go out in in March. PID: Week Commencing 19 March 2018	This has been rolled out to all Councillors and Staff with monitoring of completion rates considered by SMT and as required officers are followed up. Initial Training has been completed. Further Councillor training on Data breach reporting and data retention to be delivered by March 2019 and further as part of induction of new Council. Staff Meta training on data breach currently being designed to be delivered by end of February 2019 Workshop based training programme being developed to target service areas displaying a weakness of data protection awareness – To be available from the end of February 2019
A comprehensive information audit should be undertaken to formulate an Information Asset Register sufficient to meet the requirements of Article 30.	*Information Governance Manager & Heads of Service:* The Information Audit is underway with returns being received from Service Areas. (20 out of 24 teams have started, four are nearly completed.) Progress is being monitored and teams are being actively supported with the audit. PID: 6 April 2018	Information Audit is currently being reviewed and outstanding audits are being followed up as appropriate. Target date for completion of review of information audits end of March 2019 As part of this, meetings will be arranged with team managers to provide support as required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The Council should review and / or introduce compliant information sharing agreements.	*Information Governance Manager:* Information sharing with partner agencies is being identified through the information audit, and via a review of third party and contract arrangements. There will be an action plan for each agreement where non-compliance is identified. PID: May 2018	Register of Information Sharing Agreements is contained within contract register and this will be reviewed by Information Governance Group with a further review as part of the refresh of data retention schedule. Also officers starting to review these quarterly (in a similar way for risk registers and contract registers).
Remote Access – 6 March 2018		
ICT Management should upgrade to Cisco AnyConnect Secure Mobility Client version 4.3.4019.0 or later, which is not affected by the known vulnerability.	*ICT Infrastructure Manager:* Accepted – The upgrade of AnyConnect is scheduled for 6th March 2018. PID: No further action required.	Recommendation addressed: AnyConnect was upgraded on 6th March 2018 - no further action required.
ICT should add a standard change process / check sheet to the system to provide an audit trait of remote working authorisations and activities.	*Desktop Services Manager:* Accepted – A standard change checklist has been produced which is linked to a helpdesk request for remote access. PID: No further action required.	Recommendation addressed – no further action required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Communications: Social Media – 27 February 2018		
The Social Media Policy should be presented to the appropriate committee for formal approval.	*Marketing & Communications Manager / Digital Content & Social Media Officer:* The policy is under review and approval will be obtained. PID: May 2018	Policy has been put together with the Democratic Services Manager and the ICT Services manager to be submitted to the Standards Committee on 12 February 2019. The initial social media policy was produced for Councillors and has now been combined with an existing policy that both Councillors and staff are signed up to.
The training should be amended to include details of the Social Media Policy.	*Marketing & Communications Manager / Digital Content & Social Media Officer:* This will be included prior to the next sessions being run. PID: 1 March 2018	Training was updated prior to being rolled out to all staff to include social media policy. During the training session, staff are made aware of the policy and that the advice and guidance given in the training stems from this policy. MetaCompliance ensured all staff were aware of the policy and had to achieve 100% on the questions and answers. All new staff to the organisation are advised to read and adhere to the policy.
The importance of attending the social media training should be reiterated to Members, with further training sessions being made available to those who did not attend the first session.	*Learning & Development Officer / Senior Committee Services Officer:* Members will be offered further dates and Group Leaders will be emailed to ensure they know who has attended the training. PID: March 2018	When the staff dates were advertised on the intranet in late April, this was also shared on the Members update (14 May & 26 June) asking them to book on staff sessions. This will be done again with the 2019 dates and an update given to Group Leaders.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The potential for monitoring the numbers of service-specific enquiries should be examined in order to identify the value of using social media.	*Marketing & Communications Manager / Website Manager:* This information exists in a disparate format. The Media & Communications Manager will work with the new Website Manager to pull it together into a useable format for producing a report. PID: July 2018	Our social media channels are not used as a customer service tool but rather as an engagement/comms tool, and this is why we measure our KPI's based on engagement/reach rather than specific service requests. We do monitor service requests alongside specific projects on an ad-hoc basis. For example at Christmas we used social media activity to monitor the impact of our communication around changes to recycling – the types and number of questions helped us to identify the effectiveness of our other forms of communication.
Committee Services – 2 February 2018		
Advice should be sought from the Assets Team regarding the apparent risk of flooding from the floor above the Document Store and, if the risk is deemed to be unacceptable, appropriate action should be taken to mitigate the risk.	*Democratic Services Manager:* I will raise this issue with the Assets Team and then take whatever action, if any, is deemed necessary. PID: End February 2018.	This was reviewed by the Assets Team and there is a waste pipe within the store, which is partly exposed. The only mitigation that could be proposed was not proportionate to the level of risk potentially impacted on the effectiveness of the fire suppressant system. Therefore this will have to be an accepted risk.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The discs containing agendas and minutes for the period pre 2001 should be stored in different locations.	*Democratic Services Manager:* A set of the discs has been handed to the IT infrastructure team and will be relocated to the safe they have at the Town Hall, for corporate back up tapes etc. on Monday. PID: 5 February 2018.	The set of discs passed to the IT infrastructure team has been relocated for back-up purposes to the safe at the Town Hall. The discs contain copies of the scanned pre-2001 minutes.
The basis for the recharges of the cost of the Committee Services team should be reviewed to ensure that they remain appropriate.	*Democratic Services Manager:* I have arranged my budget review with my Accountant for next week and flagged this as a specific issue to be reviewed. Once I have had this meeting I will discuss with the Senior Committee Services Officer when they return from leave to validate my thoughts before making amendments. PID: End February 2018.	This has been reviewed and updated.
Economic Development – 23 January 2018		
Formal arrangements for the scrutiny of Shakespeare's England's reports and accounts by senior management should be established.	*Strategic Economic Development Officer:* The papers will be circulated on a quarterly basis following the meeting of the Shakespeare's England board. PID: March 2018	Action implemented in full. Papers are circulated via email to the Head of Development Services and the Head of Finance. General comments are requested and, where relevant, specific issues are highlighted for consideration and comment.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Separate orders should be raised where work or items over and above the normal contracted works are procured from contractors.	*Business Manager (Enterprise):* A new practice will be introduced to ensure that separate orders are raised where appropriate. PID: With immediate effect	This was implemented with immediate effect (January 2018). Where additional ad hoc works or items over and above the contract were required, a separate order was raised.
Formal health and safety assessments should be organised with the Building Manager and Health & Safety Coordinator.	*Business Manager (Enterprise):* The Building Manager and Health & Safety Coordinator will be contacted to request formal health and safety assessments. PID: April 2018	It was agreed with the Health & Safety Co-ordinator that the "Managing Safely" training course would equip the Business Manager (Enterprise) to conduct own formal Health & Safety assessments. Informal Health & Safety checks are ongoing in the interim. The earliest course date achievable has been booked. (Expected date for implementation: Feb/March 2019)
Budgets should be included for legal fees for each relevant facility.	*Business Manager (Enterprise):* Agreed. Financial Year 2018/19: Virements will be undertaken where needed to ensure that all projects have planned budgets (first review at budget monitoring process) From Financial Year 2019/20: Legal fees (contingency) will be set across all projects. PID: April 2018	Implemented: to retain control of budget and with legal costs being largely responsive, contingency provision was made, ensuring that costs could be met from within the service (S3660) either by way of virement or, in the case of one project, offset against the income revenue sub code: 9396 (Legal Fees).

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Development Management – 23 January 2018		
All members of the team should be reminded to save all necessary documentation in Idox.	*Development Manager / Team Leader:* This report and action plan will be discussed with all members of the team during the next team meeting. The message to staff will be to ensure that all relevant documentation is retained and filed in Idox. PID: 8 January 2018	Complete.
Local Land Charges – 12 March 2018		
Search requests should be processed in a timely manner.	*Applications Officers, Systems & Business Improvement Officer and Business Managers:* Performance in this respect has been impacted as set out in the body of the report. However revised performance monitoring measures are now in place and recruitment into vacant administration posts is now taking place to build in further resilience. PID: Currently in progress.	Complete.
Cases shown on the outstanding search tabs should be reviewed to ensure that they are appropriately closed off where no further action is required.	*Systems & Business Improvement Officer and Business Managers:* Any revisions to procedures required in this respect are being reviewed now. PID: Currently in progress.	Complete.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The next Service Area Plan for Development Services should include reference to the remaining aspects of the land charges function.	*Development Manager and Head of Development Services:* This will be included as part of the current Service Area Plan review. PID: April 2018.	Complete. However, this is being further examined as part of the current Service Area Plan review.
Cumulative figures should be included in the monitoring reports, with consideration being given to including details of any 'outliers' for further investigation.	*Systems & Business Improvement Officer and Business Managers:* This recommendation is being progressed now. PID: Currently in progress.	Complete. However, wider review of performance measures currently ongoing.
Banking Arrangements – 1 February 2018		
A full set of documented procedures for the Council's banking arrangements should be drawn up to provide step by step instructions and guidelines for the relevant processes. This is particularly important in developing succession planning arrangements, including knowledge retention.	*Principal Accountant (Capital and Treasury Management):* Bank, AllPay and Capita Download procedure notes are available. At the time of the last audit the 2014 User Guide was available. Due to the retirement of the Principal Accountant, these weren't found when the audit was undertaken. PARIS is being upgraded and testing will take place during February/March. During and after the testing, procedures will be documented. Due to the recent changes in staffing, the Principal Accountant (Systems) has deleted the previous Principal Accountant (Treasury & Capital) as a user and set up an interim replacement user. Interactive notes are available on the HSBC website. The link is now being included in the banking procedure notes. Different staff do different tasks on HSBC, the individual notes made on their procedure copy are meaningful to them. PID: July 2018	Progress in implementing the recommendation has been disrupted by staffing changes and the 2017/18 financial statement issues. Some additional notes have been added and the overall suite will be reviewed once the 2018/19 audit has been completed.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The reconciliation process should include a monthly summary reconciliation position that shows the actual monthly bank statement movements, compared to the ledger and actual cashbook movements, with a list of the transactions making up the reconciling difference including reasons.	*Principal Accountant (Capital and Treasury Management):* With a monthly reconciliation in isolation there is a risk that just looking at the movement in month would hide previous discrepancies. There are often timing issues between the months, where a discrepancy one month is addressed at the beginning of the next one. Consequently the decision was taken several years ago to rely on year-to-date reconciliations. The comments are noted, but current practice will continue. PID: Not applicable.	Recommendation not accepted.
All bank reconciliations should be subject to independent review and sign off to ensure timeliness and that any errors, discrepancies and unexplained differences are highlighted and investigated.	*Principal Accountant (Capital and Treasury Management):* The long-standing Principal Accountant (Capital and Treasury Management) was doing this. His successor did not pick this up. She was, however, made aware of the status of the reconciliations. The Interim Principal Accountant is now aware and reconciliations will be signed in future. PID: February 2018	To be reinstated in conjunction with revised bank reconciliation summary that will be introduced in Q4 of 2018/19.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
An investigation should be undertaken of the use of the OLR2 system at the Royal Spa Centre to establish why income received is not posted to the ledger. Where a 'work around' solution is used, the process should be documented and retained for continuity purposes. However, this should only be used on a temporary basis until a permanent solution is introduced.	*Principal Accountant (Capital and Treasury Management):* Whilst this was the status when this audit was undertaken, this has now been addressed. The problems arose due to this needing to be rectified by our external supplier and, despite daily phone calls and emails from several people, there was no response. A decision was made to temporarily suspend the On Line Returns Module early in December 2017. The income is now allocated through suspense with appropriate journals being done in the ledger. The service area was consulted prior to this happening. PID: Actioned December 2017	Due to ongoing issues with delayed posting, OLR2 has been abandoned and the manual journal process reinstated.
An annual review of transaction volumes should be undertaken to ensure they are still within the agreed volumes included within in the Schedule of Rates and the rates are, therefore, still appropriate.	*Principal Accountant (Capital and Treasury Management):* The sums of money are insignificant. Transactions will be reviewed during 2018/19 as part of the re-tendering process. PID: March 2018	An annual transaction volume review is undertaken by HSBC and they would notify the Council if transactions volumes vary by more than + / − 10% of the Schedule of Rates. The contract was awarded in 2015 on a 5 + 5 year basis, with the extension to be market tested during 2019.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Interest received and charged should be reviewed to ensure it is in line with the agreed rates.	*Principal Accountant (Capital and Treasury Management):* The Business Deposit Account is already monitored as part of the Treasury Management function. No credit interest is received on the Council's current accounts and debit interest is minimal. There were two overcharges identified earlier and HSBC were duly notified to refund these. PID: Not applicable.	Recommendation not accepted.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Procurement Cards – 31 March 2018		
Regular analysis of purchasing cards usage should be undertaken.	Finance Administration Manager: Regular analysis of card usage is undertaken to ensure compliance with the agreed procedures. PID: Ongoing. *Senior Procurement Business Partner:* Consideration to be given how the currently available data can be further analysed ahead of the new Procurement Card system being produced. PID: 30 June 2018	Recommendation being addressed – no further action required. FAM responsibility is only to provide the data for analysis and to ensure ongoing compliance to procedures. SPBP responsibility is the analysis of the data. A spreadsheet has been created where month-on-month from April 2018 all transaction are copied into it, this means that as time goes on there is a growing database of financial transactions to analyse. This is shared with the SPBP. As a result of the analysis to-date we are pursuing direct award contracts for travel and accommodation, we are also going to implement a change in payment method for new keys/key cutting and fuel whereby purchasing cards should be used instead of order/invoice and fuel cards. An SMT report is being prepared for this. PCard policy requirements are discussed 1:1 with all new cardholders when issuing the card, emails have also been sent to all cardholders on 3rd April 2018 & 22nd November 2018 highlighting policy requirements. FSTeam monitor usage when reconciling monthly returns and flag up any issues to FAM.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Purchasing card expenditure should be further analysed to ascertain whether the Council would meet the thresholds for receiving discounted rates with accommodation providers.	*Finance Administration Manager:* A Procurement Card system is due to be produced in 2018/19 that will streamline the process and enable improved interrogation of the transactions. PID: 30 September 2018 *Senior Procurement Business Partner:* Data to be analysed as part of forthcoming Spend Analysis. PID: 31 March 2019	A spreadsheet has been created where month-on-month from April 2018 all purchasing card transaction are copied into it, this means that as time goes on there is a growing database of financial transactions to analyse. This is shared with the SPBP. As a result of the analysis to-date we are pursuing direct award contracts for travel and accommodation. The FAM and SPBP are also working on a change of purchasing card supplier using Crown Commercial Framework RM3828 (the framework expired in July 2018 and only became live again in December 2018). An SMT report is being prepared for this.
Expenditure via purchasing cards and via TOTAL should be further analysed to ascertain whether the Council would meet the thresholds for receiving discounted rates with train companies.	*Finance Administration Manager / Senior Procurement Business Partner:* A Spend Analysis is due to be undertaken in-house in 2018/19. Whilst this will primarily be of the transactions within Total, the Purchasing Card data should be evaluated alongside this. PID: 31 March 2019	A spreadsheet has been created where month-on-month from April 2018 all purchasing card transactions are copied into it, this means that as time goes on there is a growing database of financial transactions to analyse. This is shared with the SPBP. As a result of the analysis to-date we are pursuing direct award contracts for travel and accommodation.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Cardholders should be instructed that transaction limits should be adhered to, with attempts to circumvent these limits being reported to senior managers.	*Finance Administration Manager:* This has been completed. An email has been sent to all cardholders and copied to SMT Plus to advise them of this requirement with an amended procedure document also being issued. The issue has also been highlighted to the FSTeam and they have been advised to notify the Finance Administration Manager if they notice any further instances. PID: Completed.	Recommendation addressed – no further action required.
Flood Risk Management – 31 March 2018		
A coordinated approach to managing the expansion of SUDS in the District should be adopted by involving all relevant senior managers to identify the potential problems and to propose solutions.	*Head of Health & Community Protection / SMT:* The Interim Assets Manager, the Neighbourhood Services Manager and the Deputy Chief Executive (BH) have met to discuss the issue. The Deputy Chief Executive (BH) and the Neighbourhood Services Manager will be co-ordinating the future approach and involving other staff as appropriate.	The revised Public Open Space SPD gives a clearer definition of the requirements relating to SUDs, and a template has been created for S106 agreements. Developers are required to provide evidence that SUDs have been designed and constructed properly, to ensure that they are fit for purpose, and that maintenance costs have been correctly calculated.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Housing-Related Support Services – 19 March 2018		
Budget forecasts should take into account the increase in income, which should also be reflected in the annual budget setting process.	*Housing Support & Lifeline Manager:* This will be discussed with the Assistant Accountant as it is believed this was due to two cost centres being merged (7430 and 7440) and the budget may not, therefore, have been set correctly after the merger. PID: 30 March 2018	Budgets have been discussed with the assistant accountant and next year's budgets have been set as per the budget-setting process.
The performance monitoring and reporting process should be fully developed to include: • Relevant and useful Key Performance Indicators (KPIs). • A regular reporting requirement. • Relevant and useful information reported accurately and promptly to the correct officers. • Action plans to improve performance.	*Housing Support & Lifeline Manager:* Performance is monitored on a day to day basis by the service mangers with relevant KPIs reviewed by the Housing Services management team on a quarterly basis. PID: Complete	Recommendation addressed – no further action required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Corporate Properties Repair and Maintenance – 31 March 2018		
The procurement options around the use of Ser-Tec Systems Ltd should be investigated, with a formal contract being put in place if no other suppliers are able to provide the service.	*Asset Manager:* Following advice from Procurement, these works will be tendered for a 3-year contract and a contract will be in place by the end of July 2018. PID: July 2018.	Following further assessment it was agreed that a procurement compliant arrangement would be put in place with an existing contract. Subsequently Ser-Tec's services have been engaged if necessary as a sub-contractor to D&K our main gas/heating contractor. Although this has worked well a further review has determined it would be beneficial to procure Ser-Tec directly. Discussions with procurement are now underway for a DPS contract with the aim of having this in place by the start of Q3 19/20.
Building Cleaning Services – 20 March 2018		
A strategy should be developed and implemented to outline the Council's position on cleaning of corporate buildings and all Council public buildings and spaces. This should be made available to the public to enable better understanding of expected services.	*Estates Manager:* It is not felt that there is a need for a formal strategy. Information is posted in the locked communal notice boards in relevant properties so that tenants are aware of what to expect from the contractor in terms of service levels. Notices are also on display in public toilets. A notice will now be introduced to the corporate buildings and a summary of all cleaning frequencies will be made available on the website. PID: June 2018	Recommendation actioned April 2018 and arrangements in place since that date.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
A suite of KPIs should be agreed with Kingdom, ensuring only valid and necessary indicators are included, allowing the Council to measure service levels, efficiency, effectiveness and quality of services, as well as overall performance and satisfaction levels.	*Estates Manager:* KPIs have now been agreed with the Area Manager from Kingdom which are to reflect those that were in place with Ocean. PID: Completed	Recommendation addressed – no further action required.
The current monthly meeting process should be further developed to include a meeting agenda with standing agenda items and should also document actions cleared from previous meetings.	*Estates Manager:* Agreed. An agenda will be in place for the next meeting. Whilst not specifically recorded as such, the actions from the previous meeting are covered in the minutes of the subsequent meeting. PID: April 2018	Recommendation actioned April 2018 and arrangements in place since that date.
Where complaints are received, the Council should record the results of the action taken and confirm whether the complaint has been resolved. In addition, the complainants should be informed of the outcome to ensure they are aware that the complaint has been dealt with.	*Estates Manager:* The 'issues' recorded on the spreadsheet so far have not been formal complaints. These have been addressed straight away by Kingdom and, as such, there has not been a need to formally advise the 'complainant' of the outcome as it will be obvious that it has been addressed. Were a formal complaint to be received it would be addressed by the Tenancy Manager in the first instance and a formal response would be issued. PID: No further action required.	Recommendation not accepted.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The results of the Service Improvement Team's survey should be formally assessed and action taken to address the issues raised.	*Estates Manager:* Due to anonymous nature of the responses and the lack of detail as to what caused any dissatisfaction, it is not possible to address any 'issues'. The block in question is covered as part of the normal inspection routines and no issues have been noted during recent inspections. PID: Not applicable.	Recommendation not accepted.
Invoices processed should be subject to independent review on a monthly basis to ensure any errors and miscodings are identified promptly and corrected to enable accurate month end accounts to be produced.	*Estates Manager:* The issue noted arose during a pilot of the auto-matching process that is to be employed at the Council. In future, if an order number is not stated on the invoice, the invoice will be returned to the supplier. This should ensure that the payments are correctly coded. PID: No further action required.	Recommendation addressed – no further action required.