

Appendix 3

Current Implementation Position for Recommendations Due for Completion by End of Quarter 1 2023/24

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Financial Strategy, Planning and Budgetary Control (2022/23 Audit)				
Managers may be unaware of their budget management responsibilities.	A new training programme is to be established to support the use of the new Finance Management System, introduced in November 21. This was supported at launch by mandatory training sessions.	April 2023	Yes – revised to September 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. This will take place over the next couple of months with a view to having this live by September 2023.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Limits relating to capital expenditure set out in the Code of Financial Practice should be reviewed to ensure that they remain relevant.	Code of Financial Practice to be reviewed following recent appointment to Head of Finance.	April 2023	Yes – revised to April 2024.	The Code has been reviewed, and (the Head of Finance) will propose a number of changes, in particular to section 9.11 (linked to the recommendation). Further changes will reflect the new Committee structure, replacing 'Executive' with O&S. This will be completed ahead of the new Financial year commencing April 2024.
Processes not adhered to increasing opportunity for fraudulent / unauthorised expenditure.	Legacy documents to be removed from Intranet, and relevant pages reviewed and updated as necessary. Guidance for the new finance system is already available on the Intranet and will continue to be updated as the system evolves.	April 2023	Not applicable.	Legacy Documents have been removed from the intranet and current process notes added. This will continue to be added to during the financial cycle.
Corporate Health and Safety (2022/23 Audit)				
The links and information available to staff on the intranet should be reviewed to ensure it is up to date and relevant.	The links are being reviewed and updated or removed as appropriate.	April 2023	Not applicable.	Updated policies are now available on the intranet with the other updates being a work in progress awaiting the appointment of a new (full-time) H&S officer (post being advertised externally).
Open Spaces (2022/23 Audit)				

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>An up-to-date water risk assessment should be conducted as soon as possible in conjunction with ROSPA.</p>	<p>Original: Agree - resources allowing.</p> <p>Updated: With additional staff resources being available from mid-February 2023, the completion of the water risk assessment will be completed by this revised date (April 2023).</p>	<p>April 2023 (Previous Target Date of December 2022)</p>	<p>Not applicable.</p>	<p>An up-to-date water risk assessment has been completed with the exception of a small number of sites and recommendations still under review with ROSPA.</p> <p>High priority recommendations from this assessment are being actioned now and will be fully completed by the end December 2023 and low priority recommendations to be completed by June 2024.</p>
<p>A review of the new Victoria Park play area should be conducted, to ensure that the equipment is appropriate.</p>	<p>Original: The play area is safe because it received a post installation independent safety inspection and is now on the inspection regime. Agree there is need to evaluate the play area success and failures. Plan to work with the Friends of Victoria Park in getting public feedback.</p> <p>Updated: We are currently working with Friends of Victoria Park (FoVP) on drafting a new Victoria Park Survey which is now planned to be undertaken in Spring 2023, with results of the survey,</p>	<p>June 2023 (Previous Target Date of December 2022)</p>	<p>Yes – revised to September 2023.</p>	<p>The Victoria Park Questionnaire Survey consultation period has ended (end of July 2023) with the results needing to be evaluated and written up. This then needs to be shared with Friends of Victoria Park group before being publicised. Generally positive feedback regarding the new play area and some lessons to be learnt.</p> <p>Anticipated end date of September 2023.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
	including feedback on the new play area, to be known by June 2023.			
Town Hall Lettings (2022/23 Audit)				
Risk assessments should be completed and uploaded to Artifax where the hirer is not using the facility for a meeting.	Risk Assessments are being obtained before the event. New post of Programme Coordinator already doing this. Template RAMs will be created in order to ensure all risks are picked up by hirers.	April 2023	Not applicable.	The RAMS template was created in April 2023 to be sent to hirers from May 2023.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Emergency Planning and Business Continuity Management (2022/23 Audit)				
Insurance cover should be specifically named in the EMP to ensure it is considered early on should an emergency situation arise.	The new plan will be reviewed and, if appropriate, insurance will be considered.	April 2023	Not applicable.	Whilst insurance is not specifically mentioned, the Head of Finance has been added to the 'Recovery' operational cell.
Whilst it is recognised that some staff have received training it should be ensured that the emergency management plans, or elements of them, are exercised and tested regularly to identify training needs or potential gaps in the response.	The Emergencies and Resilience Lead Officer is relatively new to role and has plans in place to run exercises of various aspects of the plan to train staff and to test the plan itself from April onwards after the new plan has been implemented.	April 2023 and ongoing	Not applicable.	Training on the plan has been delivered to SLT and Managers Forum.
Royal Pump Rooms (including Art Gallery) (2022/23 Audit)				
Officers should include the date that a service has been provided on all invoices.	All the team have been reminded to include dates on invoices from now on.	Completed at the time of the final report being issued.		
Hire invoices should be raised prior to an event where possible; deposits should also be taken where necessary.	This was raised in another recent audit and has already been actioned. Programming & Marketing team now have Events Coordinator Post.	Completed at the time of the final report being issued.		
Staff should make notes on the invoice/hire agreement explaining why certain discounts have been awarded.	All the team have been reminded to include notes on why discounts have been applied.	Completed at the time of the final report being issued.		

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
All invoices should include the hours charged.	All the team have been reminded to include the hours charged on invoices.	Completed at the time of the final report being issued.		
All hires should have formal agreements in place, whether on a rolling basis or for one-off events.	This was raised in another recent audit and has already been actioned. Programming & Marketing team now have Events Coordinator Post.	Completed at the time of the final report being issued.		
Payment of Creditors (2022/23 Audit)				
Staff should be reminded of the need to raise requisitions in a timely manner.	These issues can be covered by an annual e-mail to all users to remind them of the information. This email can also be used to target some of the common queries that we get from users.	April 2023	Not applicable.	Action completed - an annual calendar item has also been set up in the team calendar to send out the reminder.
Staff should be reminded of the need to check bank account details recorded on the invoice against the standing data before a payment is made.				
Allocations, Nominations and Lettings (2022/23 Audit)				
The HomeChoice contract should be monitored by an alternative contract owner.	Agreed. Contract owner is now the Housing Needs Manager.	3 April 2023	Not applicable.	As suggested, the contract owner is now the Housing Needs Manager.
Officers should be reminded to collect physical copies of ID verification and upload these to the Housing systems.	Agreed.	30 April 2023	Not applicable.	Action complete. Discussed in team meeting and all staff reminded of procedures.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The Housing Needs Risk Assessment should be updated.	Agreed.	30 April 2023	Yes – revised to October 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 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. 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.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Corporate Governance (2022/23 Audit)				
<p>A central database of Officer appointments should be collated and shared amongst the MO and DMO.</p>	<p>Original: Agreed to implement.</p> <p>Update: With other work demands this has not progressed as yet. However we intend to pick this up as part of the annual monitoring of outside bodies by Councillors which will commence in the new year in time recommendation to Annual Council in May.</p>	<p>May 2023 (Previous Target Date of September 2022)</p>	<p>Yes – but within this same reporting period.</p>	<p>Initial Response: Data has been received back from officers and needs to be collated and stored centrally. This should be completed by end of June 2023. We will then put in place a process for checking these each year.</p> <p>Update on subsequent chasing: Central record now in place and completed. Effectiveness will be reviewed during year as part of follow up check in the Autumn of 2023.</p>
<p>A brief summary should be published on the Council website relating to each external body and the work that they carry out and/or the benefits that their work brings to the community.</p>	<p>Original: Agreed that this should be completed by the Annual Review, so that this is in place for the new council.</p> <p>Update: The data is currently being collated from outside appointments, ready for publication as part of their annual reports. At present, information is awaited from three Councillors. It is intended to be published by early May 2023.</p>	<p>May 2023 (Previous Target Date of March 2022)</p>	<p>Not applicable.</p>	<p>Data has been collated and is held centrally but to publish on website within the Committee System would require a redesign which is not considered appropriate at this time. If the system allows this, in future we will add this detail.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Community Services (2022/23 Audit)				
<p>There should be a procedure in place that allows other officers to check that income and expenditure in respect of dog services are correct.</p>	<p>Original: 'Stray Dog Registration form' to be introduced. Details also to be inputted onto stray dog register. Invoices to WDC will then have unique ref number on them which can be checked against register to ensure correct payment to PDK is made.</p> <p>Update: Additional time is needed to iron out the details on the invoices that are being sent to WDC from PDK. Action to be completed by (end of) May 2023.</p>	<p>May 2023 (Previous Target Date of February 2023)</p>	<p>Not applicable.</p>	<p>A new form has been developed and sent to our nominated kennels.</p>
Leaseholder Service Charges (2021/22 Audit)				
<p>An income recovery process should be established and followed.</p>	<p>Original: To create & implement procedure for management and recovery of leaseholder debt.</p> <p>Update (April 2022): Awaiting input from legal services regarding recovery options surrounding first tier tribunals for procedure to be written.</p> <p>Update (August 2022):</p>	<p>May 2023 (Previous target dates from April 2022 onwards)</p>	<p>Not applicable.</p>	<p>Leaseholder service charges now confirmed as part of sundry debt contract with Bristow & Sutor. Draft flow chart created for discussion with multiple teams that may be involved in billing process for week commencing 12/06/23 so that a procedure can be finalised.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
	<p>Still awaiting Legal input into recommended process as this is complex area of Law involving use of Tier 1 Tribunals. Have been promised a reply several times and told would have some advice back, but still outstanding.</p> <p>Update (November 2022): Legal Review has determined that leases need to have clause added to enable Authority to be able to take action to recover costs. Awaiting update from legal in terms of new leases to be used moving forward and what action will be taken to address leases already used that are missing this clause.</p> <p>Update (November 2022 v2): Following advice from Legal, it has been decided not to pursue this course of action, so I think we are now some way forward at looking at the possibilities, which will most likely be to develop a process whereby we look at the County Court route to obtain a money order to recover debt. We therefore have some basis now to start to try to look at developing a draft procedure, but this will take some weeks to put together.</p>			

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
	<p>Update (April 2023): The Christine Ledger Square response has delayed the finalising of this procedure, but works are currently underway to identify if leaseholder service charges can be recovered through the Sundry Debtor contract.</p>			
Electoral Registration (2022/23 Audit)				
<p>An (updated) risk assessment for canvassers should be performed and recorded on AssessNet before the next round of door-to-door canvassing is undertaken.</p>	<p>A new risk assessment will be completed for the personal canvassers carrying out the door knocking canvass ahead of the Canvass in 2023. As part this we will explore the potential of the staff alert list as set out within the advisory note.</p>	<p>June 2023 (in time for the next Annual Canvass)</p>	<p>Yes – revised to August 2023.</p>	<p>Unfortunately I (the new Electoral Services Manager) knew nothing about this as it was not added to my radar when I started. I currently do not have access to AssessNet nor have I been trained on any risk assessment work. I have asked to have access to the system so I can have a look and then the Head of Governance has offered to train me.</p> <p>It was hoped that the canvass would start on 25 July although this may be delayed until the new contract with the printers is in place, although the canvassers will not be employed until the end of September at the earliest.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Microsoft 365 (2021/22 Audit)				
<p>The Security Incident Management Policy, Change Management Policy and System Lockdown Policy should be reviewed to ensure that they remain compliant with Council requirements.</p>	<p>A review of all ICT Policies is already underway. This was delayed during the merger process as many of our policies would have required integration with SDC, but this is no longer an obstacle.</p>	<p>30 June 2023</p>	<p>Yes – revised to December 2023.</p>	<p>The Policy Reviews indicated have not yet been completed due to resourcing constraints within ICT and the demand for resources in projects. This will however be concluded in Q3 2023/24 with a revised target date of 22/12/2023. Revised policies will be passed to SLT for approval until the ICT Steering Group is reformed.</p>
<p>Council management should ensure that work to agree and implement appropriate data retention policies as soon as possible. Doing so will help ensure a timely migration to OneDrive, whilst also ensuring that only the data that the Council requires is migrated. Minimising the amount of data to be migrated may also help reduce the cost of hosting the data in terms of the required storage capacity.</p>	<p>Work is already underway with the Council’s new Information Governance Manager to implement appropriate data retention policies that can be enacted across the organisation.</p>	<p>30 June 2023</p>	<p>Not applicable.</p>	<p>Progress has been made towards developing a data classification system with the assistance of the Information Governance team, but work toward this has not yet concluded as it is a complex area. ICT have however progressed to introduce basic information classification tools that allow users to protectively mark documents in both Office applications and email. Each classification has rules attached - for example, documents marked as Official Sensitive can only be opened by authenticated users and cannot be copied or printed by their recipients. Whilst</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
				this does not apply to all document types, it is the first steps towards implementing a more complex data loss prevention system.
Planning Policy (2022/23 Audit)				
The Service Area Lone-Worker Policy should be updated.	<p>Original: The current lone worker policy remains largely relevant; however, it would benefit from being updated as it was prepared prior to the pandemic, when most staff were office-based for most of the time.</p> <p>Update: As per the Audit in December I committed to reviewing / updating the lone worker policy for the policy team. We indicated that we would look to do that by the end of March.</p> <p>However, owing to other pressing matters and the need to take annual leave before the end of the financial year this has not yet been possible.</p> <p>We have had a major consultation on the South Warwickshire Local Plan, I have led public examination hearings for the Council this month on the Net Zero Carbon DPD and I have been busy recruiting and then helping new</p>	June 2023 (Previous Target Date of March 2023)	Yes – revised to December 2023.	I have been unable to prioritise this owing to an extremely heavy workload. It remains on my long to-do list. Will be completed by end of 2023 - this feels appropriate given that it has a 'Low' rating.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
	<p>staff settle in to the organisation (amongst lots of other things!).</p> <p>I do appreciate this is a priority but want to ensure I can commit the appropriate time to reviewing the corporate policy, what we currently have and what my colleagues in Development Management have in place. Therefore, I am requesting that I could have a bit longer to produce this – preferably a couple of months. Could we say 1st June please? I will be on leave for 2 weeks after this week and will no doubt have a mountain of work to get through upon my return before I can focus on tasks including this.</p> <p>In the meantime new starters are being told about the procedures for going on site and I have recently ensured our ICE information for my team is up-to-date, including for new starters.</p>			

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Recruitment and Selection, Terms and Conditions (2022/23 Audit)				
The Recruitment and Selection training provided should highlight that essential criteria should be reviewed to ensure they are commensurate with the role in order to ensure that the pool of potential applicants is not unnecessarily reduced. This should also reference the HAY guidance in place and link to the HAY representatives.	Training provider to be advised to update material accordingly.	June 2023	Not applicable.	The information has been passed to training provider to ensure inclusion in next course.
The Recruitment and Selection training provided should highlight that the shortlisting and interview scoring should be provided to HR for retention in the case of challenges being received.	Training provider to be advised to update material accordingly.	June 2023	Not applicable.	The information has been passed to training provider to ensure inclusion in next course.
The Recruitment and Selection training provided should highlight that the checking of qualifications is the responsibility of the recruiting managers.	Training provider to be advised to update material accordingly.	June 2023	Not applicable.	The information has been passed to training provider to ensure inclusion in next course.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Staff Health and Wellbeing				
Although both numbers allow access to the service, the BUPA phone number for Employee Assistance Support should be consistent across all HWB pages.	The number will be changed.	June 2023	Not applicable.	Completed in June 2023.