

**Summary of Recommendations and Management Responses from Internal Audit Reports  
issued Quarter 2, 2022/23**

Report Reference	Recommendation	Risk Rating <sup>1</sup>	Responsible Officer	Management Response and Target Implementation Date (TID)
<b>Housing Stock Asset Management – 29 September 2022</b>				
4.3.1	It should be ensured that data is input into ActiveH allowing maintenance and works programmes to be planned.	Low	Compliance Manager	The Compliance manager has issued an email to all assets staff reminding them of their responsibility to input data onto the system. TID: Completed.
	There should be a procedure in place to ensure that correct and up-to-date data is uploaded to the portal/input onto ActiveH by contractors when works have been completed.	Low	Compliance Manager	The Compliance Manager has emailed relevant assets Contract Managers reminding them of their responsibility to ensure contractors are inputting data on to the portal/active H when works have been completed. TID: Completed.

<sup>1</sup> Risk Ratings are defined as follows:

- High: Issue of significant importance requiring urgent attention.  
 Medium: Issue of moderate importance requiring prompt attention.  
 Low: Issue of minor importance requiring attention.

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4.6.2	The training provided to contractors regarding updating works completed should be reviewed and the importance of using the portal to update the status appropriately at contract meetings should be reinforced.	Low	Compliance Manager	The Compliance Manager has emailed relevant assets Contract Managers reminding them of their responsibility to ensure contractors know how to use the portal and providing training where needed. TID: Completed.
<b>Sundry Debtors – 15 September 2022</b>				
4.2.2	Staff should be reminded to promptly issue one-off invoices and reminder letters.	Low	Senior Finance Administration Officer	PAPT issue reminder letters for all debts which are run twice a week. Users are only responsible for issuing one-off invoices, which should be done promptly. A reminder will be issued to staff ASAP. This will also be included as a yearly Intranet reminder as part of the year end process. The Debtor Intranet page contains information on how to raise invoices prior to services being delivered. However, some information/FAQs on the intranet page are showing as old Total processes which will need updating. TID: 30 November 2022

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4.2.3	Staff should be reminded to check that invoices are in line with the correct charges before being issued.	Medium	Senior Finance Administration Officer	Reminder to staff to be written up and issued ASAP. A yearly reminder will be included within year end guidance and on annual Intranet posts. Debtor Intranet page to be updated. TID: 30 November 2022
<b>Payroll and Staff Expenses – 27 July 2022</b>				
4.3.1	The HR Handbook should be reviewed, and irrelevant documentation should either be updated or discarded where appropriate.	Low	Head of People & Communications	Agreed to implement – streamlining the HR Handbook is an ongoing project. This will be done in line with the new Intranet platform. TID: Dec 2023
4.4.1	Salary increments should be reviewed to ensure that these are correct before the payment run in October 2022.	Medium	Head of People & Communications	Learning & Development Officer has created a severe diary note for this and will run a salary increment report to ensure they are correct. TID: Oct 2022
4.5.2	Staff should be reminded to attach expense receipts to I-Trent.	Low	Learning & Development Officer	Agreed – to use Meta as reminder. TID: Sept 2022
	The Document Store should be purged of receipts that are more than three years old.	Low	HR/Corporate Support Team Manager	Agreed –suspect that many of the documents over three years old will have been destroyed already. HR to contact CMT to confirm. TID: Sept 2022

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<b>ICT Operations as a Joint Service – 7 September 2022</b>				
This assignment was delivered as a consultancy exercise. This meant that recommendations were not made but that, instead, Items for Consideration were raised.				

<b>Financial Systems Interfaces – 30 September 2022</b>				
4.2.3	The Council should develop formal policies and procedures for the management of the Financial Interfaces with the Ci Anywhere system.	Low	Principal Accountant (Systems)	The documentation in place will be expanded upon to enable staff unfamiliar with the interfaces to be able to follow the processes. TID: 31 March 2023
4.3.2	The Council should update the risk register with the appropriate Interface Management risks, risk ownership and mitigation measures.	Low	Head of ICT	The risk relating to interface failures is included in the ICT Applications risk register which is recorded on the Grace system. TID: Completed.
<b>CCTV Services – 28 September 2022</b>				
4.3.1	The COTL should be included as a SPOC in all relevant documents.	Low	CCTV Operations Team Leader	Agreed. COTL to speak with line manager to discuss the best way forward with this. TID: 31 March 2023

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4.4.1	All staff on the team should be given health and safety, first aid and fire safety training.	Moderate	CCTV Operations Team Leader	Agreed. This recommendation has been added to all CCTV staff PDPs. TID: 4 October 2022
	RIPA refresher courses should be made available to the team on either an annual or bi-yearly basis.	Low	CCTV Operations Team Leader  Audit & Risk Manager	Agreed. Information to be sought about the possibility of in-house refresher. If not available, then external providers to be looked at. This will also be added to future PDPs. TID: 31 March 2023
4.7.2	An updated list of upgraded equipment should be sent to the Insurance and Risk Officer.	Low	CCTV Operations Team Leader	Agreed. COTL to check and confirm the most recent asset list and get costings for the items. COTL to discuss this with insurance team. TID: 30 November 2022
<b>Safeguarding Children and Vulnerable Adults – 2 September 2022</b>				
4.3.2	References to SDC should be removed from the relevant safeguarding policies.	Low	Customer Involvement Officer	This recommendation was included in the safeguarding action plan. TID: 31 October 2022
4.4.2	The quarter four referral data for 2021 should be included in the figures.	Low	Customer Involvement Officer	This recommendation was included in the safeguarding action plan. TID: 31 October 2022

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4.4.3	The adult referral procedure flowchart should be updated to reflect correct staff titles and contact details.	Low	Customer Involvement Officer	This recommendation was included in the safeguarding action plan. TID: 31 October 2022
<b>Sustainability and Delivery Outcomes – 12 September 2022</b>				
4.3.2	The climate plans that are in place should be reviewed to ensure that actions, aims and target dates are correct and measurable.	Low	Programme Director – Climate Change (PDCC) and Climate Change Programme Officer (CCPO)	Agreed. The climate plans will be reviewed as an early action for the CCPO when he starts on 1 September. TID: 31/10/22
	The list of service areas and/or officers with designated responsibilities on the Climate Change ambitions plans should be reviewed and responsibilities communicated to those services/officers so they are aware of the actions that they are responsible for.	Medium	PDCC and CCPO	Agreed. Actions will be reviewed and officers will be reminded of their responsibilities as an early action for the CCPO when he starts on 1 September. TID: 31/10/22
4.5.1	Officers should be made aware of their responsibilities for actions on the Climate Change plans. (Repeat of recommendation at 4.3.2)	Medium	PDCC and CCPO	Agreed. Officers will be reminded of their responsibilities for the actions on the plan as an early action for the CCPO when he starts on 1 September. TID: 31/10/22

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4.5.1	Contract managers should be made aware of their responsibilities when monitoring contracts and should be trained appropriately to have the skills needed to monitor and review KPIs.	Medium	PDCC	Agreed. Contract managers will be reminded of their responsibilities. The procurement process also highlights the need to review and monitor KPIs. TID: 31/12/22
4.5.2	Consideration should be given to including the risk of out-of-date data or data that is not useful on the risk register, with the identification of appropriate controls to manage these risks.	Low	PDCC and CCPO	Agreed. The risks identified on the risk register will be reviewed and updated as needed as an early action for the CCPO when he starts on 1 September. TID: 31/10/22

### **Open Spaces – 28 July 2022**

4.2.1	Quarterly meetings should be held with the accountant to ensure that the budgets are being rigorously monitored.	Medium	Green Space Manager	Agree and will be implemented straightaway. TID: From September 2022
4.3.2	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.	Low	Green Space Manager	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. TID: Start 2024

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4.6.1	All parks and open spaces should be reviewed to determine the frequency of their risk assessments.	Low	Green Space Manager	There is a need to review the parks risk assessment process based on recent ROSPA recommendations. Need to take a step back and evaluate what is appropriate. TID: Start September 2022
4.6.2	A review of the new Victoria Park play area should be conducted, to ensure that the equipment is appropriate.	Low	Green Space Manager	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. TID: Complete by December 2022
4.6.4	An up-to-date water risk assessment should be conducted as soon as possible in conjunction with ROSPA.	Medium	Green Space Manager	Agree - resources allowing. TID: December 2022
<b>Homelessness and Housing Advice – 6 July 2022</b>				
4.2.2	A budget manager should be appointed.	High	Housing Needs Manager	A budget manager will be appointed . TID: 29 July 2022
4.5.2	The links provided in the directory should be reviewed to ensure that they are still active.	Low	Housing Needs Manager / Business Development & Change Manager	The links provided in the directory will be reviewed to ensure that they are still active. TID: 30 September 2022



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4.6.2	The staff turnover should be monitored and reviewed to see how the change in salary has impacted it.	Medium	Housing Needs Manager / Senior Housing Advice & Allocations Officers	The uplift in salary for the Homeless Officers has enabled us to recruit to two posts which had been long term vacancies. The service will continue to keep this in review. TID: 29 July 2022
<b>Right to Buy – 2 September 2022</b>				
No recommendations arising on this occasion.				