IMPLEMENTATION POSITION OF LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED QUARTER 4 2011/12

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Collection of National Non-Domestic Rates – 30 March 2012		
Enquiries should be made on the feasibility of enhancing UPRN format checks in the Civica system to reject entries with the incorrect number of pre-colon digits.	*Revenues Manager:* As every authority will have its own different UPRN make-up, it would require bespoke work from Civica that of course would cost. Given the low risk (and I would say very low given there is no real detrimental effect other than the sake of consistency) I am not sure this is something worth pursuing. We shall, however, raise it at the Civica enhancement group - if enough customers consider it a priority it may be done free. May 12 (to report to enhancement group).	Civica enhancement group have not supported this for free development due to lack of interest from other sites. Consequently we would have to pay for the development. Given the very low risk attached to this we do not anticipate paying for this development in the near future or indeed at all.
Administration of Housing & Council Tax Benefit – 6 March 2012		
The information on the "Notes for filling in a claim form" should be updated to reflect the current position.	*Benefits and Fraud Manager:* Notes for filling in claim form no longer in use and old copies now disposed of. Completed.	No further response required.

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All links on the website to an application form should access the same form – the form with the cover sheet.	*Benefits and Fraud Manager:* Benefit form now updated on website. Completed.	No further response required.
Treasury Management – 2 March 2012		
The procedure notes should be updated to reflect current practices, with the manual being updated to include current documentation.	*Principal Accountant (Capital & Treasury Management):* The procedure notes will be brought up to date as soon as resources permit. End of June 2012.	This has been commenced and is currently ongoing with a target date of end of March 2013.
All interest calculations should be checked, with care being taken to ensure that the correct amounts are entered onto the Lending Summary spreadsheet.	*Principal Accountant (Capital & Treasury Management):* The two that were not checked resulted from not receiving confirmations from the relevant counterparties that is the "trigger" to check the interest calculations. In future all interest calculations relating to Money Market investments will be checked regardless of whether a confirmation is received or not. Immediate.	Implemented.

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Reconciliations of treasury activity should be undertaken on a regular basis.	*Principal Accountant (Capital & Treasury Management):* Reconciliations will take place as resources permit, having regard to the need to give the daily treasury management tasks priority. April 2012.	Implemented.
The Finance & Audit Scrutiny Committee should be encouraged to make use of the CIPFA self-assessment tool for the Effective Scrutiny of Treasury Management.	*Principal Accountant (Capital & Treasury Management):* This tool will be brought to the attention of F&ASC although F&ASC members have received recent training from Sector regarding their role in effective treasury management scrutiny, so this is not seen to be an immediate issue. September 2012.	Not yet implemented due to work pressures. Initial feedback from Sector is that this toolkit re-invents and reproduces much of what we are already doing and may be too detailed for Members' needs. Sector will be developing presentations to provide information that we may need to comply with the requirements of the toolkit. When available, these will be examined alongside the toolkit to see if any further action is necessary.
Corporate Procurement – 6 March 2012		
The Procurement Site on the intranet should be enhanced by the addition of details of the services provided by the team, a statement defining the purpose of procurement and the role of service areas in the process.	*Financial Services Manager / Procurement Manager:* Intranet to be updated. March 2012.	This has been done – last year.

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A training plan should be compiled so that as many staff as possible with procurement responsibilities receive appropriate training**.**	*Financial Services Manager / Procurement Manager:* ACE compiling a list of officers requiring training and another list of officers requiring to be updated. Once list complete then training will be arranged. Training also being arranged for members but the difficulty is trying to ensure that the members attend. List – April 2012. Training – Summer Autumn 2012.	Training completed for all but a few budget holders. Members training to be a short briefing as last session was poorly attended. Procurement to offer brief 'dos and don'ts sessions for any officers purchasing – April 2013.
Customer Access Facilities – 6 March 2012		
Formalisation of the governance arrangements for the Customer Services Centre and Joint One-Stop Shops should be sought in the form of written and signed agreements with Warwickshire County Council.	*Head of Corporate and Community Services:* Written Licences on the use of the CSC and OSS areas of WCC premises are already agreed and signed. An MOU and SLA are currently being drafted: however, these need to be informed by the work in progress on integration of the teams. Strong relationships have been built by WDC with WCC management teams, as evidenced by integration work and moving the Hub working in library areas, which minimises the risk likelihood. July 2012.	There have been a number of changes to the CSC and OSS as integration progresses. As a result of the Revenue Support Grant allocations, there may be further changes needed to the services. The SLA is being drafted and will be presented to Executive.

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The relevant entries in the Operational Risk Register should be reviewed to secure a coherent risk profile free of duplication and with realistic control ownership.	*Head of Corporate and Community Services:* In progress. April 2012.	Completed.
DMC: Cash Collection & Security – 1 February 2012		
DMC Staff should be reminded that all envelopes should be opened on three sides.	*DMC Team Leader:* Agreed. This requirement has been reiterated to staff. Completed.	Actioned – no further response required.
ICT Business Applications: Acolaid – 24 January 2012		
The number of Acolaid licenses held should be ascertained with a review being subsequently performed to ensure that this is still relevant to the needs of the Council.	*Development Manager:* Agreed. Idox will be contacted to ascertain the number of licenses held. End of February 2012.	**Despite reminders, no response received.**

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The password expiry setting should be activated.	*Senior Building Control Officer (as a System Administrator):* The Development Manager queried the need for changing passwords on this kind of system. Some users also advised that their passwords did expire. However, it was confirmed upon review of the security settings that this option did not appear to be active. This was therefore activated accordingly. Complete.	Actioned – no further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
A review of system access permissions should be performed to ensure that all users have relevant access privileges and that obsolete and duplicate accounts (and groups) are deleted.	*Development Manager:* A review of users has been undertaken and accounts were deleted where staff have left the Council. However, the Development Manager queried whether this would make it difficult to identify the relevant case officer on older applications. It was, therefore, agreed that Idox would be contacted to ascertain whether accounts could be disabled as opposed to being fully deleted, so that relevant user details remained on the system. It was also agreed that user account privileges would be reviewed by system administrators. End of March 2012.	**Despite reminders, no response received.**
The membership of the db_owners fixed database role should be confirmed for all databases under the live instance for Acolaid. Once confirmed, the administrative requirements of the Application Support Team at database level should be confirmed with a view to restricting access in line with operational needs.	*Database Administrator:* Agreed. Application Support staff have been removed from db_owners fixed database role. Complete.	Actioned – no further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
A regular (annual) review should be performed of all users with system access to ensure that the privileges remain relevant.	*Development Manager:* Agreed. This will be undertaken annually. Ongoing (Annual after current year review)	**Despite reminders, no response received.**
Options suggested by the Application Support Analyst with regards to enabling specific users to be identified on the audit trail (either via integration with Active Directory or by setting users up on the database) should be investigated and adopted if they are considered relevant and proportionate.	*Application Support Manager:* Agreed. Idox will be contacted to ascertain whether this is possible. End of February 2012.	Action completed: The system supplier, IDOX, made the required changes to the system in June 2012 to integrate with Active Directory, which enabled specific users to be identified on the audit trail.
Royal Spa Centre – 7 March 2012		

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Relevant Finance staff should be included within the formal training sessions to allow them to access financial information.	*General Manager:* Include finance staff in new box office system training. At point of installation. Est June 2012.	The implementation of the new Box Office system was halted after concerns were raised by the new General Manager about its procurement and the commitments that WDC would be entering into. A new system will be investigated in the second half of 2013 through proper procurement channels. The Cultural Services Business Support Team personnel responsible for Spa Centre finances have had training on the current box office system. All staff will be trained on any new system.
The checking process that was put in place as a result of the apparent discrepancy referred to in 4.3.4 should continue and be monitored.	Continue practice and monitor, investigating any discrepancies. Already implemented, monitoring ongoing.	Implemented and actioned. Further cash handling procedures have been implemented (from Jan 2013) which have resulted in tighter checks, controls and monitoring. Continue to monitor.
All merchant copies of card transactions should continue to be stored securely with access restricted to appropriate staff. Arrangements should be made to destroy securely the copies after three months.	*General Manager:* Investigate bringing storage and destruction of catering merchant copies into line with existing box office merchant copy processes. Immediate.	Implemented and actioned. CC transaction slips are held in a secure safe and destroyed periodically.

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Sundry debtor accounts should be raised promptly at the beginning of each month. This should include billing for part delivery of any series of bookings covering several weeks.	*General Manager:* Bring TH hiring process into line with RSC process and streamline whole process via BST experiment. Invoices to be raised no later than two weeks after an event. Payment in advance to be requested if considered necessary. Immediate.	Implemented and actioned. As part of the Spa Centre & Town Hall staffing restructure the hiring process will be brought further into line from April 2013. Workflow, recharges and invoices will be tightened further with the introduction of diary / resource management software in 2013.
Highways Functions – 26 March 2012		

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The performance indicators in place for the team should be reviewed to ascertain whether they are still felt to be relevant following the move to the Housing & Property Services. If so, or if new indicators are agreed, formal performance monitoring should resume.	*Property Manager / Area Engineer:* The Property Manager has already held a number of preliminary meetings with the Area Engineer to discuss the future workings of the Engineering Team within the Property Team and the two existing performance indicators were reviewed at one of these meetings. The 2 indicators are:- 1) to provide new or amended property addresses within 6 weeks of the request date. (For information, ICT Services will be taking on this function later this year) 2) to replace missing street nameplates within 10 weeks of the reported date Once a final decision has been made about the Engineering Team the existing PIs will be reviewed again to ensure that they are still relevant.	Housing & Property Services are going through a full Service Redesign & Improvement Programme which will lead to changes within the Service & the formal monitoring of all future performance indicators will be included as part of this process. The function to provide new or amended property addresses within 6 weeks of the request date transferred to the GIS Team within the ICT Department on 1/7/12. The Engineering Team still record performance on replacement street nameplates & for information 98.9% were replaced within 10 weeks of the reported date for the period 1/4/12-7/2/13.

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Regular, minuted, team meetings should be reinstated.	*Property Manager / Area Engineer:* Fortnightly meetings are held between the Area Engineer & the Property Manager. The Area Engineer continues to update his Team following these fortnightly meetings. As referred to in 4.1.3, once it has been agreed how the Engineering Team will fit into the Property Team then the Property Manager will ensure that regular, minuted, team meetings are held.	In the absence of the Property Manager the Head of Housing & Property Services has 1 to 1s with the Area Engineer. The Engineering Team holds informal ad-hoc Team meetings to discuss on-going works & inspections. This recommendation will be resolved as part of the H & PS Redesign.
The relevant staff member should be made aware of the correct fee on an annual basis, following Executive approval.	*Property Manager / Area Engineer:* The fees for the function of street naming & numbering of new properties are set annually & are next due to be reviewed in December 2012 to be implemented in January 2013. All members of the Engineering Team have been informed about the fees for this current period. For information, ICT Services will be taking on this function later this year.	As per the previous update this function transferred to the GIS Team within the ICT Department on 1/7/12 & is therefore no longer applicable for the Engineering Team.
Car Parking – 30 March 2012		

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The new Car Park Strategy should include details of the governance arrangements for delivering the objectives and an action plan with defined milestones and time frames.	*Head of Neighbourhood Services / Parking Services Manager:* This will be included in the updated plan to be produced in September 2012. September 2012.	The Car Park Strategy report has been delayed as a result of uncertainty about the continued delivery of the service. A report is scheduled for May 2013 but this is dependent on knowing if WDC will continue to deliver on-street and or off-street enforcement.
Governance arrangements for the CPE Partnership should be reviewed at the next renewal to ensure proportionality in relation to risks and should be adhered to thereafter.	*Head of Neighbourhood Services / Parking Services Manager:* The current agreement runs out in June 2013. Governance arrangements will be reviewed and discussed with WCC and included in any new agreement. June 2013.	We have already been informed by WCC that they will give us 12 month's notice of their intention to end the current partnership agreement in June 2013 as they are now considering externalising the on-street enforcement.
Formal records should be maintained of joint meetings under the CPE Partnership.	*Head of Neighbourhood Services / Parking Services Manager:* The Parking Services Manager will organise administrative support to ensure all that CPE board and operational meetings are formally documented and provide copies to all parties. From next meeting due in May 2012.	No meetings have taken place given WCC plans to externalise the on-street enforcement. It is

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The Operational Risk Register entries relating to Parking Services should be reviewed to ensure that all risks arising from critical business dependencies are assessed and mitigating controls clearly stated.	*Parking Services Manager:* In line with the audit officers comments the Parking Services Manager will review the risk register and include any additional operational risks where applicable. End of June 2012.	The main risk is and continues to be the risk of not meeting the income targets. Other risks including the risk of managing car parks in snow / ice is included in the risk register presented to F&A in November 2012.
Environmental Protection – 30 March 2012		
The monthly performance information on service requests should include the figures for the number of requests remaining open.	*Divisional Environmental Health Officer (GH):* This will be implemented from the start of the 2012/13 financial year. 30.04.12.	This was implemented on 1 April 2012 and has been updated monthly since that date.
Officers should be reminded of the need to enter all of the required information relating to service requests.	*Divisional Environmental Health Officer (GH):* Regular monitoring by Divisional EHO and discussions at monthly team meetings. Performance measure to be included in appraisals. 30.06.12.	Performance management is a standing item on the monthly team meeting agenda and also on the monthly departmental management agenda. Every member of the team has a performance measure in their appraisals which will be made "smarter" for the 2013/14 scheme.
All outstanding service requests should be reviewed and closed on the system where appropriate.	*Divisional Environmental Health Officer (GH):* This is an on-going task that has already been started and follows rec. no. 2 above. 30.06.12.	Quarterly reports are produced and reviewed by the Divisional Environmental Health Officer in addition to no. 2 above.

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Officers should ensure that VAT is deducted from all charges for the treatment of rodents and other pests.	*Divisional Environmental Health Officer (GH):* This has already been investigated and Finance have amended their payment system so that all future payments through DMC will automatically have their correct VAT deducted. 01.04.12.	Implemented by Finance.

IMPLEMENTATION POSITION OF HIGH RISK RECOMMENDATIONS
ISSUED QUARTER 2 2012/13

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Document Management Systems – 27 July 2012		
All unsecured content of WDCShare should be deleted or moved to secure repositories.	*Senior Management Team:* Service Areas to get staff to check what is on WDC Share and delete/move any unnecessary files and any personal information. April 2013.	Senior Management Team still dealing with this.