

**Current Implementation Position for Recommendations Due for Completion by End of Quarter 2 2024/25**

RECOMMENDATIONS	MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<b>Aids and Adaptations (2023/24 Audit)</b>				
Review the Active H system with the Application Support team to ascertain whether the automated updates to the Attributes field from the orders can be restored.	The system will be reviewed to ascertain whether this link can be restored.	July 2024	No.	The action in terms of reviewing the system to see if the link can be restored is completed (insofar as it was already working but the updates to the relevant attributes were not automatic due to the way that the contracts had been set up on the Active H system). Work will now be undertaken to ensure that the contractors and contracts are appropriately set up so that this link works as required.
<b>Leisure and Recreation Facilities (2023/24 Audit)</b>				
a) Fire risk assessments should be completed by the Assets team in line with the specified timescales. b) the Sports & Leisure team should be ensuring that these risk assessments are completed.	Actions will be completed under our control. Other actions raised with the Assets team will be regularly chased and audit trails made available. Sports & Leisure Contract Officer to liaise with Health & Safety and Premises Manager as the AssessNet system is proving problematic in actioning tasks.	July 2024	No.	a) FRA's for Newbold Pavilion and The Old Library are due to be completed by an independent assessor on 19th August. This will allow The Sports Team to review the current actions that are outstanding on these buildings. A full review of outstanding actions, will take place in September 2024. The annual FRA's for the sports buildings are also due again in the autumn.

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				b) The Sports Assistants monitor and update the compliance spreadsheet and update accordingly. They have access to the DMS on Active H and also request the information directly from the contract administrators - if not readily available. Sports Assistants are aware of the importance of the document and the need to maintain accuracy and up to date information.
a) Compliance works should be completed by the Assets team. b) The Sports & Leisure team need to ensure that these compliance works have been completed and update the compliance spreadsheet accordingly.	All actions under the Sports & Leisure Team's control have been completed; other items are the responsibility of the Assets team, who are being regularly communicated with; audit trails are available. Sports & Leisure Contract Officer to liaise with Health & Safety and Premises Manager as the AssessNet system is proving problematic in actioning tasks.	July 2024	No.	Compliance checks are completed and recorded by both contractors that are instructed by Assets and the Assets Team themselves. All of these checks are recorded and paperwork passed to the Sports Assistants. The Sports Assistants then transpose the information on to their own compliance spreadsheet and monitor accordingly from there.
Staff should be reminded to file monthly and weekly inspections, where necessary.	Inspections had been completed but were not filed correctly. Admin procedures will be addressed.	August 2024	No.	On a weekly basis we do on-site inspections of the pavilions and obtain reports monthly from assets for the assessments by external companies (Firesafe, Dodds etc.) If this information is not available we continue to chase colleagues.
The risk assessment relating to the Poplar trees at the Edmondscote athletics track	Officer will update Assessnet in due course. Works are still ongoing with the trees.	September 2024	No.	The risk assessment has been reviewed and updated. A number of trees were felled in March 2024 as

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<p>should be reviewed and updated where appropriate.</p>				<p>they had been deemed as a risk and needed to be removed.  Further work is scheduled for October/November 2024. A bat survey was recently concluded (Oct 2024). Providing that this survey allows then further tress will be felled prior to the end of 2024.  The risk assessment will be reviewed at that point and amended as necessary. Everyone Active operate the athletics facility on behalf of WDC now and they have risk assessments in place to close the track or reduce operation during high winds. This will again need reviewing once any tree work has been completed as it could be that that the risk is completely removed depending upon the number of trees felled and their location.  The tree condition is managed by Greenspace colleagues and the reports undertaken are sent to and reviewed by them. Any action undertaken is done via their instruction.</p>

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IDVERDE should be reminded of their contractual obligation to inspect the football pitches on a regular basis.	Sports Team will liaise Contract Services.	September 2024	No.	ID Verde should complete monthly pitch inspections and worksheets sent to the sports team for their information. These reports are then filed. This did happen consistently towards the end of the previous season, and September's reports for this season have been received. Sports Team will monitor and ensure these are completed by ID Verde.
<b>Information Governance (2023/24 Audit)</b>				
Managers should be reminded to inform their teams where data is stored and located.	Request to all managers via email can be sent for them to brief and explain to their teams.	July 2024	No.	Action completed in 8 August 2024 via email to managers forum.
The Town Hall operating procedure should be updated to reflect the clear-desk policy and use of headsets in the office.	The Head of Assets to liaise with the Facilities Manager on this.	July 2024	No.	The clear desk policy and (use of) headsets have been updated in both the Saltisford and the Town Hall SOPs.
<b>ICT Strategies and Policies (2023/24 Audit)</b>				
The detail behind the current Digital Strategy and any sub-strategies required should be drawn up as soon as practicable to support the current change programme, with reference being made to how they align with the Corporate Strategy Warwick District 2030.	Work is underway to develop the content of the Digital Strategy objectives based on the one-page digital strategy outlined as part of the Change Programme. These will be published and made available to staff as soon as possible and identify how they align to both the change programme and the Council's wider corporate objectives.	July 2024	No.	This recommendation is complete. The Digital Strategy and associated Change Programme documents are all now published together and the links between are contained within this documentation.

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<p>It should be ensured that the new strategy is published as a distinct document on the internet and intranet.</p>	<p>Revised materials will be published accordingly and consideration can also be given as to the most appropriate way of communicating the strategy, alongside the wider change programme. Target date set to match the outcomes identified in recommendation 4.2.3.</p>	<p>July 2024</p>	<p>No.</p>	<p>This recommendation is completed and the strategy can be found through SharePoint and by searching for Digital Strategy on the intranet.</p>
<p><b>Temporary Accommodation</b></p>				
<p>A full inventory of furnishings/stock purchased for temporary accommodation placements should be compiled. The expected standards of the provision of white goods and furniture should be included under a temporary accommodation policy.</p>	<p>Existing stock control procedures were not being followed. The HSM has spoken with officers to remind them that they must complete inventory sheets. A full stock check has now been completed and will be audited by the HSM each month. Items that are included in the WDC stock have been checked to ensure that they are in good working order. Any nonstandard items will be removed and if clearance of items is required, this will be arranged, and the outgoing tenant will be sent an invoice for the cost. End of tenancy visits will be carried out when the staffing levels permit.</p>	<p>Completed at the time of the final report.</p>		

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Where purposeful damages have been caused in private temporary accommodation, the temporary placement should be ended promptly.	Agreed. There is an existing warning system in place whereby any breaches of occupancy due to wilful damage will result in financial penalties and eviction. Staff have been informed of this.	Completed at the time of the final report.		
Payments to providers of temporary accommodation should be made in a timely manner to avoid the risk of losing sources of accommodation.	Invoices are received and checked before being approved. Payments are made in line with WDC Procurement, Purchasing and Payments. The service maintains invoicing records to ensure payments are made in a timely manner.	Completed at the time of the final report.		
All User and Occupation Agreements should be uploaded to Locata.	Agreed. The HSM will remind staff of the importance of accurate record keeping. When staff vacancies are filled, this will provide capacity to ensure this is done in all cases.	July 2024	No.	Use and occupation agreements are being completed when households are being seen at their accommodation however; we still only have one HSW so these are taking time to be completed and then uploaded onto the system
Staff should be reminded to upload key receipts, fire door agreements, next of kin forms, and non-secure tenancy agreements to the DIP for all WDC temporary accommodation placements.	Agreed. The HSM will remind staff of the importance of accurate record keeping. When staff vacancies are filled, this will provide capacity to ensure this is done in all cases.	July 2024	No.	All WDC non-secure tenants signed up have completed and signed relevant sign up paperwork including checklists which have been uploaded to ActiveH DIP folder

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Staff should be reminded that these documents must be fully signed, dated and names printed by both the applicant and the WDC officer in all cases. The HSM should also undertake regular audits of these documents.	Agreed. The HSM will remind staff of the importance of accurate record keeping. When staff vacancies are filled, this will provide capacity to ensure this is done in all cases.	July 2024	No.	HSM checking all documents are completed in full following visits with households prior to uploading onto system for those in WDC non secure tenancies. For Non-WDC households, recruitment has been unsuccessful therefore there is a delay in the uploading of documents as households come into TA.
Staff should be reminded to update both Locata and Active H where possible.	This will be done during team meetings and 1:1s. The HSM will remind staff of the importance of accurate record keeping.	July 2024	No.	There is only one HSW and the TA manager currently in post therefore; daily meetings taking place whereby records are being updated and information uploaded onto systems as required. There is a backlog of scanning to upload to client files which is being done weekly and diarised.
Rent statements should be hand delivered to the applicant where possible. Where rent statements have been delivered to the property, a visit should accompany this.	Every Monday rent statements are issued; where the occupant is present the team will speak with them, but this is not done through a supported visit. A support visit is arranged in line with occupant and officer availability at an agreed date during the week. When staff vacancies are filled, this will provide the capacity to ensure that this is done in all cases.	Completed at the time of the final report.		

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Management should consider the resources needed in order for the team to be able to conduct weekly visits to all homeless applicants placed into temporary accommodation.	Agreed. Support visits are taking place, but the reduced staffing levels do not allow a visit every week. Weekly visits will resume when the service has its full complement of staff. Weekly block inspections of WDC stock are recorded on ActiveH.	July 2024	No.	The resources required for weekly visits have been considered although support visits are still taking place fortnightly currently as we have been unable to successfully recruit a HSW to enable the weekly visits. These are diarised and recorded when visits have taken place.
Staff should be reminded to note housing benefit start dates on the Locata journal notes where relevant.	Agreed. A record of housing benefit claim numbers will be uploaded on LOCATA and cross-referenced with the temporary accommodation spreadsheet.	July 2024	No.	A record of ALL HB claim references is captured both on Locata and the TA spreadsheet. Dates by which memos (both occupancy and vacation) are emailed to Benefits are on the spreadsheet and also recorded on Locata. This role is that of the TA assistant however; currently being completed by the HSM so there are a few notifications delayed in sending.
Any homeless records older than 2019 should be disposed of accordingly.	The HSM will dispose of records pre-2019. The Senior Housing Advice and Allocations Officer will ensure archived records are deleted prior to 2019 on the LOCATA system.	September 2024	No.	The temporary accommodation service has safely removed records of those in temporary accommodation pre 2019 in the folders within Homeless services provision in line with GDPR and sensitive information

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<p>Officers should, where possible, be trying to recoup any monies from applicants where WDC have had to foot the bill for damages.</p>	<p>Debt recovery policy to be implemented and sundry accounts to be set up on ActiveH.</p>	<p>September 2024</p>	<p>No.</p>	<p>We have set up some sundry accounts onto our system on the ActiveH system enabling a code to be allocated for payment to be made. Where a client has a rent account set up the costs for damages post vacation of temporary accommodation has been applied creating arrears on their account. A folder designated to damages invoices incurred following vacation of temporary accommodation clients has been set up and we are currently in the process of setting up sundry accounts to recharge and recoup the costs. This will be completed and available for Audit purposes 31/10/2024 and ongoing.</p>
<p>Staff should be reminded to notify the Benefits team immediately once the placement end date is known.</p>	<p>The recruitment of a Temporary Accommodation Assistant will ensure this recommendation is complied with.</p>	<p>September 2024</p>	<p>No.</p>	<p>We have successfully recruited to the role of temporary accommodation assistant as at: 16/09/2024. To this, all occupancy and vacation memos are being managed by this role alongside benefits communication and correspondence daily. We are now in a position to monitor and undertake a review bi monthly of overpayment notifications received reducing any fraud risk.</p>

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<p>Staff should be reminded to make weekly contact with their assigned applicant. In cases where contact cannot be established, this should be documented on the Locata journal.</p>	<p>The recruitment of a Homeless Support Officer will ensure full compliance of this recommendation.</p>	<p>September 2024</p>	<p>No.</p>	<p>We have not been successful in recruiting to the role of homeless support worker for both the permanent position and fixed term contract. As a result we have been able to provide fortnightly visits to most households and maintain weekly phone calls across all households to address any concerns or issues they require assistance with. The temporary accommodation assistant has been able to provide telephone contact and visual when completing property inspections. the HSM is also undertaking visits to ensure a presence where this is achievable due to other work commitments.</p>
<p><b>Housing Rent Collection (2023/24 Audit)</b></p>				
<p>Staff should be reminded to dispose of tenant data in line with specified timeframes.</p>	<p>This is an area of ongoing development. A retention period for the DMS has been agreed with the various Housing teams. The Business Development and Change Officer is working with IT to build a framework which can be applied to these retention rules and run automatically. Currently, there is no practice to delete, redact or anonymise data in Active H. There are, however, possibilities to introduce data disposal</p>	<p>August 2024</p>	<p>No.</p>	<p>The framework to automatically dispose of digital documentation in line with the Housing Services retention policy has been completed and tested. However as this work has been developed concurrently to other DMS enhancements, of which some are dependent on other components, existing plans are to deploy this into Live at the same time as the wider ActiveH upgrade, which is scheduled to occur in Q4</p>

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	<p>methods which could run automatically on a nominated schedule. This is something that the BD&amp;C Team would be looking to progress in 2024/25.</p>			<p>24/25. The deletion or anonymisation of 'data' in the ActiveH database itself now has superior automation opportunities through the arrival of a Modern Workflow Studio, however no such processes relating to data redaction have been bought into the live system.</p>
<b>Open Spaces (2022/23 Audit)</b>				
<p>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.</p>	<p><b>Original:</b> 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. <b>Update (February 2024):</b> This will be integrated into the service plans for 2024/25 (No new target date was provided, so followed-up in April 2024) <b>Update (May 2024):</b> Discussions have started on how to staff resource the project and options on out sourcing the works required. A Project Initiation Document will be in place by end August 2024.</p>	<p>August 2024 (Previous target date of January 2024 with follow-up in April 2024)</p>	<p>No.</p>	<p>Planning is underway for the review of the Green Space Strategy which will happen in 2025 and is included within the Service Area Plan for 2025-2026. Procurement have advised us on the procurement options if we are needing external support.</p>

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<b>Change Management (2023/24 Audit)</b>				
<p>The Change Management Policy should be reviewed as soon as possible and at regular intervals thereafter.</p>	<p><b>Original:</b> The Change Management policy does require a review as it was last looked at when we were merging. We will review the policy in context of best practice and bring this back to SLT for approval.</p> <p><b>Update (November 2023):</b> Updates to the Change Management Policy have not been completed yet due to resourcing limitations within Customer and Digital Services. However, work toward a revised Change Control process is underway and will be completed shortly.</p> <p><b>Update (May 2024):</b> Work toward a revised change management policy has not been completed due to other priorities within the service, which have drawn the attention of officers away from this.</p> <p>The Change Policy is prioritised for updating and will be completed as soon as possible. A draft policy has been created, but has not yet been circulated to stakeholders for consideration, ready for confirmation by SLT or the ICT Steering Group if this is established before the recommendation is completed.</p>	<p>August 2024 (Previous target dates of 3 November 2023 and February 2024)</p>	<p>No.</p>	<p>A revised Change Management policy has been developed by ICT. This addresses the aspects identified by the audit and is based on the Change Management principles identified in ITIL v3 and ISO 27002 (2022). It cannot guarantee that no uncontrolled changes will ever take place, especially outside of ICT environment where individual services are responsible for line of business systems, but it introduces safeguards to minimise this risk. The revised policy whilst aimed at ICT and the systems it has in place to manage changes, can be used by other service areas with slight adaptation, to make use of the tools they have available.</p> <p>The policy is set to be reviewed every two years.</p>

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<p>The Council should implement a process whereby improved change request monitoring reporting is designed and implemented. These might include (but not be limited to) the following:</p> <ul style="list-style-type: none"> <li>• Aging of change requests broken down into regressive time periods, to detect change records that have exceeded specific KPIs in this respect.</li> <li>• New changes for specific time periods.</li> <li>• Resource time allocations to changes, to detect allocation overruns where changes are more challenging to implement.</li> <li>• Change request age (the time between the initial record being raised to the request being closed).</li> <li>• Changes awaiting approval.</li> </ul> <p>All these examples will require agreed KPIs or other suitable metrics for them to be adding value to the service.</p>	<p><b>Original:</b> Agreed – this will be addressed as part of reviewing the Change Management Process.</p> <p><b>Update (November 2023):</b> Updates to the Change Management Policy have not been completed yet due to resourcing limitations within Customer and Digital Services. However, work is progressing and a revised change reporting process will be completed.</p> <p><b>Update (May 2024):</b> Work toward a revised change management policy has not been completed due to other priorities within the service, which have drawn the attention of officers away from this.</p> <p>The Change Policy is prioritised for updating and will be completed as soon as possible. A draft policy has been created, but has not yet been circulated to stakeholders for consideration, ready for confirmation by SLT or the ICT Steering Group if this is established before the recommendation is completed.</p> <p>An extension to this action is requested.</p>	August 2024 (Previous target dates of 3 November 2023 and February 2024)	No.	<p>A revised change management process has been developed that records key information about a change and allows for the monitoring of change performance. This includes aspects such as:</p> <ul style="list-style-type: none"> <li>• Key dates for when the change was raised, when it is expected to be completed and when authorisations are required.</li> <li>• Resources are recorded within the change control document - both internally to ICT, internally within a service, and externally if any contractor support is being provided.</li> <li>• Category of changes dependent upon impact and risk.</li> <li>• Notification time tables and methods.</li> <li>• Change types - standard, regular or emergency</li> </ul> <p>Each of these aspects facilitate improved monitoring of Change Control performance within ICT and the key outputs will become a</p>

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				feature of ICT's 2025/26 Service Area Plan performance measures.
<p>The Council should update the email template used (to have the business authorise the next steps in the change cycle) to include an explicit option for having the service area confirm that their business process documentation has been updated as required and that relevant training on the new processes has been delivered.</p>	<p><b>Original:</b> Agreed – this will be addressed as part of reviewing the Change Management Process.</p> <p><b>Update (November 2023):</b> Updates to the Change Management Policy have not been completed yet due to resourcing limitations within Customer and Digital Services.</p> <p><b>Update (May 2024):</b> Work toward a revised change management policy has not been completed due to other priorities within the service, which have drawn the attention of officers away from this.</p> <p>The Change Policy is prioritised for updating and will be completed as soon as possible. A draft policy has been created, but has not yet been circulated to stakeholders for consideration, ready for confirmation by SLT or the ICT Steering Group if this is established before the recommendation is completed.</p> <p>An extension to this action is requested.</p>	<p>August 2024 (Previous target dates of 3 November 2023 and February 2024)</p>	<p>No.</p>	<p>A new change management process has been developed which explicitly asks a service to provide positive affirmation of a change and describes each aspects of the change process.</p> <p>This does not explicitly state that a service would need to update its operational documentation as this is beyond what ICT would be able to provide insight toward. However, it does contain a suggestion of aspects which the service should consider and documentation is an item on this list.</p>

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<b>Void Management (2023/24 Audit)</b>				
An illegal occupation procedure should be compiled.	<p><b>Original:</b> Agreed.</p> <p><b>Update (May / June 24):</b> One of the responsible officers had not initially been made aware that she had been allocated responsibility for undertaking the action so the target date needed to be amended. Initial thoughts have now been pulled together which are to be discussed by the two responsible officers so that an agreed procedure can be taken forward.</p>	August 2024 (Previous target date of April 2024)	Yes – revised to November 2024	A draft procedure has been drawn up by the Housing Advice and Allocations Manager which is awaiting comments from Assets (via the Compliance Manager).
The Assets service risk assessment regarding visits and inspections should be updated.	<p><b>Original:</b> Agreed to review with the Health &amp; Safety and Premises Manager.</p> <p><b>Update (July 2024):</b> Completing this recommendation has been hampered by the resignation of Francis Quinn. Mark Sainsbury is though now in post on a casual basis and is reviewing both the contracts and general use of Solo Protect and AssessNet. Until this is complete, it is difficult to determine what changes are required to the existing Risk Assessment. I will though take this up with Mark ASAP and discuss what interim changes, if any to the RA need to be made.</p>	August 2024 (Previous target date of Spring (June) 2024)	No.	The relevant Risk Assessment on AssessNet has now been updated and published in consultation and support from the Corporate Health & Safety Manager.

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Staff should be reminded to take arrears action in cases where damage recharges have not been paid.	Agreed. The Landlord Services Manager to speak to the Purchasing and Payments, Business Administration, and Income Management teams to draw up a procedure outlining the stages for pursuing arrears, including County Court Orders.	Summer 2024 (September 2024)	No.	A draft procedure is now in place and consideration is being given to see if a process in Active H can be developed to manage the process and link in with repairs.
A procedure needs to be drawn up to ensure that properties which remain empty after contractor work has completed, are regularly inspected. This is to ensure compliance with insurance requirements and prevent legionella.	Agreed.	Summer 2024 (September 2024)	Yes – revised to March 2025.	As part of the Consumer Standards action plan, a redesign of the end-to-end process for letting a void is currently underway. This recommendation will be included in the redesign and will be completed by 31/03/25.
Staff should be chasing unpaid costs as well as making sure that recharges have been charged to the correct individual.	Agreed.	Summer 2024 (September 2024)	No.	Completed as part of the recharge process
<b>Financial Strategy, Planning and Budgetary Control (2022/23 Audit)</b>				
The 'Managing Your Cost Centre' course should be made mandatory for new budget managers with consideration being given to running this as refresher training for existing budget managers.	<b>Original:</b> A new training programme is to be established to support the use of the new Finance Management System, introduced in Nov 21. This was supported at launch by mandatory training sessions. <b>Update (June 2023):</b> Support is currently offered by Assistant and Principal Accountants to	Aug 2024 (Previous target dates of April and September 2023 and January, February	Yes – initially revised to September 2024 and then to November 2024	<b>Original Response:</b> The training PowerPoint presentation is now almost finalised, and managers will be required to shortly attend the training (end of September after the Fees and Charges work is finished) <b>Subsequent Response (October 2024):</b> The PowerPoint slides to deliver CCM

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	<p>assist all Finance system users (including Managers). A new Budgeting system is being developed and accompanying training will be provided. This will take place over the next couple of months with a view to having this live by September 2023.</p> <p><b>Update (November 2023):</b> The PowerPoint that was going to build on the initial training we offered our users at go-live for new starters was being updated but, with one thing or another, this got delayed. The Strategic Finance Manager's thinking now is this needs to be more Cost Centre Manager focused so we're looking at bringing those bits more into it.</p> <p>The last few weeks have been busy with the Fees and Charges exercise. That's over now, so this will be looked at again over the coming weeks with the Strategic Finance Manager and the Team.</p> <p><b>Update (February 2024):</b> Due to workload in the Team it hasn't been possible to put together this training. The next couple of months will be focused on upgrading to a newer release 23B (from 22B) and then year-end processes. We should look to start this late April and for now suggest we put in a completion</p>	and June 2024)		<p>training are ready and it just needs scheduling in dates with the Learning and Development Officer for the Accountancy Team to run these.</p> <p>I'm mindful this has been on the back burner for the best part of a year but with Fees and Charges recently and currently the need to finalise our accounts for 2021/22 &amp; 2022/23 I would have liked to have said we'll get these started in October but in reality I suspect it will be sometime in November 2024.</p>

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	<p>date of 30/06/2024.</p> <p><b>Update (July 2024):</b>  The only problem was, with this be 'Cost Centre Manager' training as opposed to general CIA system training, I had hoped for input from a number of people on various areas but with workloads I accept this can be lower on individuals priorities. So to get this to move a bit, the Strategic Finance Manager's instructed me to put something together myself and for that to be improved upon by individuals if required. So the Strategic Finance Manager wants me to get that together by the middle of this month (July). We can then give individuals to the end of the month to comment / add to. Then with it being the holiday season in August (and to allow for any further time required on the above) I think realistically it wouldn't go live before Sept so a 31st Aug completion date should be met.</p>			

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<b>Licensing Services</b>				
A training log should be implemented to track which Licensing and Regulatory Committee and sub-committee members have received the mandatory licensing and regulatory training and which still require this training.	Yes, Committee have a record but it would be beneficial for Licensing to have their own record too.	August 2024	No.	A Licensing (team specific) Training Log has been developed, that includes details such as date invite sent, when a response was received and if they attended the training or not - it will be used for subsequent Cllr training sessions.
<b>Customer Access Facilities</b>				
Staff should be reminded to thoroughly check all letters before these are folded and sent for posting.	Staff will be reminded of the importance of checking documents prior to posting, in order to comply with the relevant Data Protection regulations. The introduction of Hybrid Mail should negate the need for hand-printed mail.	August 2024	No.	An email has been sent to all relevant staff.
Refresher Data Protection Training should be held on an annual basis.	A cyber-security training plan has recently been developed which includes the requirement for all staff to undertake regular data protection refresher training within the next 12 months.	August 2024	No.	Annual data protection training for Customer Services staff will be scheduled via the Meta system, commencing in December 2024.
Guidance should be compiled outlining where and how CSC staff can report facility issues.	We will determine the mechanism through which the CSC can report issues with the building and provide feedback to the CSTL.	August 2024	No.	Staff now know that if they experience an issue with the Pump Rooms they can raise this with their team leader who will escalate the situation to the Council's Assets Team. If a prompt response is not received, this will be escalated to

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				the Head of Customer and Digital Services, who will liaise with the Assets Team directly.
A fully comprehensive risk assessment of the Pump Rooms reception should be completed as a matter of urgency.	This will be completed as a matter of urgency.	August 2024	No.	Within the first six months of opening there have been no incidents within the customer service environment. Currently, it is considered that the risk of a significant incident is not high and there is no budget available to fund an additional community warden. The risk of an incident will continue to be recorded in Customer and Digital Services risk assessment for the Pump Rooms, but no further action will be taken at this stage.
Guidance needs to be distributed to WDC staff (e.g. through the Intranet) explaining the roles and responsibilities of the CSC following their move to the Pump Rooms.	Agreed to compile document and get this distributed.	September 2024	No.	Staff now have access to a comprehensive knowledge base which explains the roles of Customer Service staff within the Pump Rooms and in other settings.
Call statistic reports should be sent onto the Head of Customer & Digital Services, as appropriate.	This will be done on a monthly basis.	September 2024	No.	Call performance reports are now distributed to the Head of Customer and Digital Services on an automated basis. Performance monitoring has also been added to the KIT meeting agenda for the Customer Services Manager.
<b>Events Management (2023/24 Audit)</b>				

RECOMMENDATIONS	MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Contract KPIs should be formally monitored.	Agreed.	September 2024	No.	KPI Excel spreadsheet created and being monitored periodically.
BCP's from contractors should be provided on a yearly basis.	Agreed.	September 2024	No.	BCP's requested from 2 contractors, 1 received to date.
<b>VAT Accounting (2023/24 Audit)</b>				
The VAT reference manual should be reviewed.	<p><b>Original:</b> SFM to work with AA to find capacity to update VAT manual, including all statutory updates and to then publish on the intranet.</p> <p><b>Update (May 2024):</b> Priorities have been on completing the closedown for three different financial years. Additional resource will be placed into this team to provide resilience for the Assistant Accountant who deals with VAT.</p>	September 2024 (Previous target date March 2024)	Yes – revised to August 2025.	The completion of the accounts has been the priority and this will be reviewed by August 2025.
VAT details, if not included on receipts, should be available on request to customers.	<p><b>Original:</b> To advise service areas to have VAT receipts available where possible and ensure that signposting to the intranet to inform the VAT registration number is available (and to update the internet is updated).</p> <p><b>Update (May 2024):</b> Priorities have been on completing the closedown for three different financial years. Additional resource will be placed into this team to provide resilience for the Assistant Accountant who deals with VAT.</p>	September 2024 (Previous Target Date March 2024)	No.	CIA has been developed to include VAT receipts (where costs have been coded correctly to VAT) to be available on request, including the authorities address and VAT number. A dashboard is available to all users to find and print these.

RECOMMENDATIONS	MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>A timetable of VAT tasks should be developed and progress regularly reviewed by the Strategic Finance Manager.</p>	<p><b>Original:</b>  Timetable to be produced annually in line with the Finance report timetable Update - February 2024:  This has not yet been actioned due to workload issues and, as we are nearly at financial year end, there is currently not time to action this.  The Strategic Finance Manager suggested that he needs to find time for the Assistant Accountant to complete this task.</p> <p><b>Update (May 2024):</b>  Priorities have been on completing the closedown for three different financial years. Additional resource will be placed into this team to provide resilience for the Assistant Accountant who deals with VAT.</p>	<p>September 2024  (Previous target dates of June and December 2023 and April 2024)</p>	<p>Yes – revised to April 2025.</p>	<p>The completion of the accounts has been the priority and this will be reviewed by April 2025.</p>
<p><b>Banking Arrangements (2023/24 Audit)</b></p>				
<p>Ethical procurement aspects should be considered in the risk register.</p>	<p><b>Original:</b>  The Council’s investment counter-party criteria identifies countries that the Council is happy to accept, and the Council’s bank provider would be a UK-based subsidiary or company. The risk register will be reviewed in October and then on a quarterly basis.</p> <p><b>Update (November 2023):</b>  Due to the ongoing external audit and other workload pressures this review</p>	<p>September 2024  (Previous target dates of October 2023 and March 2024)</p>	<p>Yes – revised to January 2025.</p>	<p>Previous responses have taken this action slightly on a tangent. The consideration of this risk will be covered when the next review of the Finance Risk Register is undertaken in January</p>

RECOMMENDATIONS	MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
	<p>hasn't taken place and will have to be deferred until the consideration of the 2024/25 Annual Treasury Management Strategy Statement report to Council, to be approved by 31 March 2024.</p> <p><b>Update (May 2024):</b> Procurement have advised we need to take a report to Cabinet to get approval, as the two-year contract extension, taken with the original contract, exceeds the £50k limit the S151 has.</p>			
<b>Treasury Management (2022/23 Audit)</b>				
<p>The Treasury Management Practice documents should be reviewed to ensure that they are complete and up to date.</p>	<p><b>Original:</b> The TMPs will be reviewed as soon as time permits.</p> <p><b>Update (April 2023):</b> These have been significantly re-written but need the S151 Officer to review a number of points. Once comments have been received, time will be needed to amend the documents accordingly.</p> <p><b>Update (October 2023):</b> The Strategic Finance Manager and the Principal Accountant will arrange a meeting with the Head of Finance soon about the updated Treasury Management Practices that the Principal Accountant did in February, as he needs to agree what has been</p>	<p>September 2024 (Previous target dates of March, September and December 2023 and March and June 2024)</p>	<p>Yes – revised to March 2025.</p>	<p>The completion of the accounts has been the priority and this will be addressed in time for the TM statement in March 2025.</p>

RECOMMENDATIONS	MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
	<p>included with regards to the S151 Officer's responsibilities which are based on the CIPFA recommendations. It's never quite got to the top of priorities give the external audit situation, change of Council, etc.</p> <p><b>Update (January 2024):</b> A Treasury Management Policy Statement was included in the Annual Treasury Management Strategy Statement 2023/24, at Appendix A, adopted by Council in March 2023. This statement will also be included in the Annual Treasury Management Strategy Statement 2024/25 currently being drafted for Cabinet on 6 March 2024 (for Council on 20 March 2024).</p> <p><b>Update (May 2024):</b> The Treasury Management Practices are still in draft as they require the formal acceptance from the Head of Finance, as they to add to his (and the Strategic Finance Manager's) responsibilities. However, priorities have been on completing the closedown for three different financial years.</p> <p><b>Update (August 2024):</b> S151 Officer to review and approve draft TMP's by end of September 2024.</p>			