

CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 3 2014/15

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Payroll and Staff Expenses – 19 December 2014		
The establishment on the HRMS system should be reviewed and updated to ensure that it reflects the current agreed structure of the council.	<i>Senior HR Officer (SF):</i> This is being addressed as part of the project to move the HR and Payroll database to Coventry. March 2015.	Move to new Payroll Bureau at Coventry City Council (CCC) has enabled us to cleanse the data to ensure representation of current structure. This is still being reviewed as part of the ongoing implementation of the system. (TD)
The quarterly reports to managers should be reinstated to enable managers to review their staffing lists.	<i>Senior HR Officer (SF):</i> As above.	As above we are presently reviewing the reports available to us from CCC and how to present the MI in a meaningful way to managers. (TD)
The HR Handbook should be reviewed to ensure that all details are still relevant.	<i>Senior HR Officer (EP):</i> This work is already in progress. April 2015.	Ongoing review as part of the Intranet project. (TD)
Proforma email forms should be created for changes to permanent payroll information to ensure that all relevant information is received at the same time.	<i>HR Transactional Payroll Project Manager:</i> This will be picked up as part of the rollout of Manager Self Service. July 2015.	Completed April 2015. (TD)

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The authorised signatory list should be amended to include details of which officers can send through the email notifications.	<p><i>HR Transactional Payroll Project Manager:</i></p> <p>This will be automatic when self-service is rolled out.</p> <p>July 2015.</p>	Work in Progress as part of self service (TD)
Checks should be undertaken to ensure that all documents have been saved correctly following scanning onto FORTIS.	<p><i>HR Transactional Payroll Project Manager:</i></p> <p>Staff are going to attend a training course on the use of FORTIS. Double checking is not, however, deemed to be cost effective.</p> <p>March 2015.</p>	We are reviewing the use of FORTIS in line with internal files and Corporate Review of Scanning (TD)
Checks should be undertaken following any changes to pay rates to ensure that all affected elements on the system have been updated.	<p><i>HR Transactional Payroll Project Manager:</i></p> <p>Payroll staff will review pay elements every time there is a pay award where these elements are fixed amounts as opposed to being linked to an employee's hourly rate.</p> <p>January 2015.</p>	Coventry responsible for this as part of Payroll service – we check via monthly reports (TD)
A formal decision should be made as to whether the shortfall in monies recovered in respect of the car loan interest payments should be pursued with the ex-employee.	<p><i>HR Manager:</i></p> <p>It has been decided to write off this amount in the circumstances.</p> <p>Immediate.</p>	Confirmed that this has been written off.

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An independent review of the 'update own record' report should be reinstated.	<p><i>HR Transactional Payroll Project Manager:</i></p> <p>The reports are created monthly already. These will be scrutinised by the HR Manager on a monthly basis and signed off or investigated further as deemed appropriate.</p> <p>Immediate.</p>	Completed as part of payroll move to CCC
All manual calculations should be checked by another member of Payroll staff.	<p><i>HR Transactional Payroll Project Manager:</i></p> <p>The recommendation will be complied with.</p> <p>Immediate.</p>	Completed as part of payroll move to CCC
Section 106 Agreements – 14 January 2015		
A standard list of consultees should be drawn up for major applications.	<p><i>Development Team Leader:</i></p> <p>Agreed. The recommended action will be complied with.</p> <p>End Feb 2015.</p>	A list of standard consultees has been prepared and is in use by officers.

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Evidence should be obtained to support all requests for s106 contributions for each individual application as appropriate.	<i>Development Team Leader:</i> Agreed. The recommended action will be complied with. End Feb 2015.	All section 106 contributions are required to be fully supported by appropriate justification and evidence. This is an area of work that has come into increasing focus in connection with a number of recent planning appeals. Officers have been reminded of this through team meetings and 1-1s and this will continue to be the case in order to ensure that in all cases, appropriate justification is provided.
Consultees should be formally made aware of the outcome of relevant applications including in relation to any contributions that are to be paid to them.	<i>Development Team Leader:</i> Agreed. The recommended action will be complied with. End Feb 2015.	The monitoring of S106 agreements involves joint working with all partners who are in receipt of S106 contributions through their sharing of and inputting into the S106 spread sheet – this mechanism now ensures that they are aware of the outcome of applications.
A sealed copy of the relevant s106 agreement should be obtained.	<i>Development Manager (in conjunction with Legal Services):</i> Agreed. The recommended action will be complied with. End Feb 2015.	Working in conjunction with legal colleagues, all S106 agreements are sealed.
Licensing Services – 20 January 2015		
The Licensing Team should liaise with NDR to arrange access to council held Rateable Value data.	<i>Regulatory Manager:</i> NDR access to be arranged.	NDR to provide list in April/May to allow review prior to invoicing in October.

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When RVs are available the current bandings for premises licences should be compared.	<i>Regulatory Manager:</i> Work will be undertaken annually or upon receipt of a new or variation of an existing application.	This is now taking place for all new and variation applications. Difficult in the case of new build premises. RV checked once building is complete in these instances. All premises have been reviewed this year.
Access should be arranged to Valuation Office schedules of changes to the Valuation List. They should be assessed regularly for any possible changes to premises bandings.	<i>Regulatory Manager:</i> Access to valuations list to be arranged. Frequency of access to be determined.	In place as above.
Flood Risk Management – 27 November 2014		
The Procurement Team should be contacted for advice on market testing the work currently undertaken by Wilkinsons.	<i>Environmental Sustainability Manager:</i> Tender documents to be prepared in January in readiness for awarding a new contract on 1 April 2015. 1 April 2015.	Discussed with Procurement Team in January 2015 but unable to progress as planned due to their workload. Tender documents have now been prepared to award new contract in early 2016.
Invoices for work undertaken for WCC should be raised at regular intervals on predetermined dates.	<i>Environmental Sustainability Manager:</i> HCP Business Support Officer to raise annual invoice at start of the year 1 April 2015.	Agreed to invoice for the full year at the start of the year from 1 April 2015.

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Invoices should be raised in advance and not in arrears in accordance with the Code of Financial Practice.	<i>Environmental Sustainability Manager:</i> Area Engineers to provide HCP Business Support Officer with relevant and timely information. 1 April 2015.	As above.
The situation with income from the County for Highways Culvert maintenance in 2013/14 should be investigated and reported as part of the corporate budget monitoring process.	<i>Environmental Sustainability Manager:</i> Environmental Sustainability Manager to discuss with WCC. 31 January 2015.	Completed as per implementation date.
As part of ongoing monthly budget monitoring any significant variations should be investigated and reported so that action can be taken as appropriate.	<i>Environmental Sustainability Manager:</i> ESM to action. 1 January 2015.	Implemented and on-going.
Treasury Management – 4 December 2014		
The daily procedure notes should be updated to reflect current practices, with the manual being updated to include current documentation.	<i>Principal Accountant (Capital & Treasury Management):</i> The daily procedure notes will be updated as soon as possible. March 2015.	Still in progress due to workload pressures. Karen and I are meeting with other Treasury Management Officers in Oxford on 5 th November in order to discuss the level of detail generally accepted to be best practice for these documents.

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<p>A quarterly detailed reconciliation between Treasury Management investment spreadsheet records per counterparty/money market fund should be prepared and signed off as correct.</p>	<p><i>Principal Accountant (Capital & Treasury Management):</i> Quarterly detailed reconciliations will be performed and signed off at the end of each quarter beginning December 2014. January 2015.</p>	<p>Implemented although not formally signed off as not printed as hard copy in line with policy of storing all documents wherever possible electronically.</p>
<p>The above reconciliation should detail any incorrect transaction values requiring journal adjustment between principal and interest received, with the objective of ensuring that the financial reporting to Executive is facilitated.</p>	<p><i>Principal Accountant (Capital & Treasury Management):</i> Any adjustments revealed during the quarterly reconciliations will be journaled on completion of the reconciliation in order to ensure that TOTAL is kept up to date. January 2015.</p>	<p>Implemented.</p>