

**Summary of Recommendations and Management Responses from Internal Audit Reports
issued Quarter 4, 2022/23**

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Emergency Planning & Business Continuity Management – 10 March 2023				
4.2.2	Insurance cover should be specifically named in the EMP to ensure it is considered early on should an emergency situation arise.	Low	Emergencies and Resilience Lead Officer	The new plan will be reviewed and, if appropriate, insurance will be considered. TID: April 2023
	The Council's main Business Continuity Plan should be reviewed and brought up to date.	Low	Emergencies and Resilience Lead Officer	The plan will be updated and brought in line with the recently-reviewed Emergency Management Plan. TID: September 2023
	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.	Low	Emergencies and Resilience Lead Officer	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. TID: April 2023 and then ongoing.

¹ 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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4.4.2	The roles identified with responsibilities within both the current and the updated EMP should be reviewed to ensure they are using current job titles to so that the correct person can be identified and contacted in an emergency situation.	Low	Emergencies and Resilience Lead Officer	Roles and responsibilities have been updated and reviewed and are now correct. TID: March 2023
Payment of Creditors – 31 March 2023				
4.2.5 & 4.4.2	Staff should be reminded of the need to raise requisitions in a timely manner.	Low	Senior Finance Admin Officer	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. TID: 30 April 2023
4.5.1	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.	Medium		
Main Accounting System – 31 March 2023				
No Recommendations arising on this occasion (although one 'advisory' was raised).				
Microsoft 365 – 24 January 2023				
4.2.2, 4.2.4 & 4.2.6	The Security Incident Management Policy, Change Management Policy and System Lockdown Policy should be reviewed to ensure that they remain compliant with Council requirements.	Low	Head of Customer and Digital Services	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. TID: 30/06/23

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4.3.4	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.	Medium	Head of Customer and Digital Services	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. TID: 30/06/23
4.4.10	Redacted			
Corporate Properties Repair and Maintenance – 29 March 2023				
4.5.1	Phase 2 of the implementation of CIAnywhere should be actioned as soon as possible enabling invoices raised through ActiveH to be linked to the relevant contract on CIAnywhere.	Low	Head of Finance	The contract with TechnologyOne will be extended by one year as additional support is needed for the contract with CIAnywhere, this includes phase 2 of the implementation. TID: March 2024
4.7.1	The Asset Management Strategy should be used to evaluate options for the Council’s assets.	Low	Head of Neighbourhood and Assets	The Strategy is being used for corporate assets and these have been categorised and classified and a project is underway with Savills to advise the Council on appropriate options for each asset – retain / invest / divest. TID: September 2023

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Food Safety – 15 February 2023				
4.4.2	Staff should be reminded to visit premises, where allegations of illness have been made, in a timely manner and notify all complainants promptly of the outcome, where appropriate.	Low	Food Safety Team Leader	The request for service (RFS) reviewed by the auditor was one of two received relating to alleged illness at the same premises from complainants with the same first name – neither responded to officer requests for further information. The complaints were used as intelligence to prompt an inspection at a low-risk food premises and no issues were identified. One RFS was updated and the other was not – a genuine error which has now been corrected. The FSTL now carries out monthly monitoring of all RFSs for response and completion times which will identify any similar occurrence and the officer will receive a prompt using the action diary to record actions taken etc. TID: 26 January 2023
Leisure Facilities Contracts – 31 March 2023				
4.2.14	The report format should be reviewed to ensure that it contains information relevant to the Council at the appropriate level of detail to enable the appropriate steps to be taken.	Low	Sports and Leisure Contract Manager	The reporting of customer comments will be changed accordingly. TID: September 2023

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Royal Spa Centre – 17 February 2023				
4.2.1	To mitigate the risk of staff inadvertently using the Council procurement card for personal goods, Council business accounts should be used when purchasing items for business use.	Low	Arts Manager	All staff with corporate purchase cards have been asked to check that their card is not linked to their personal online accounts. TID: Completed.
Town Hall Lettings – 7 March 2023				
4.2.1	Invoices should be raised in advance of the booking date.	Low	Programming and Marketing Manager	Invoices will be raised a minimum of 14 days before the event. New post of Programme Coordinator already doing this. TID: 10/02/23
	Signed hire agreements should be obtained and uploaded to the booking system before the hire date to ensure records are accurate and to confirm that the hirer has agreed to the terms.	Low	Programming and Marketing Manager	Hire agreements are being obtained before the event. New post of Programme Coordinator already doing this. TID: 10/02/23
4.5.2	A copy of the insurance document should be obtained and saved with the booking information.	Low	Programming and Marketing Manager	Insurance documents are being obtained before the event. New post of Programme Coordinator already doing this. TID: 10/02/23

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Affordable Housing Development Programme – 15 March 2023				
4.2.1	If the old monitoring spreadsheet cannot be located, a new version should be set up to ensure that Housing Strategy are able to keep track of progress with relevant housing developments.	Medium	Housing Strategy and Development Manager / Development Manager (Place, Arts and Economy)	Agreed – if the old spreadsheet cannot be located, a new version will be set up. TID: 31 March 2023
4.2.3	The reconciled figures should be used as the basis of a new commuted sums tracking spreadsheet, should the old one not be located.	Medium	Principal Accountant (Housing) / Planning Monitoring Officer / Housing Strategy and Development Manager	Agreed – if the old spreadsheet cannot be located, a new version will be set up. TID: 31 March 2023
4.2.3	Investigation should be undertaken to ascertain whether the 'expired' commuted sum needs to be repaid to the developer or can be used on the scheme it is shown to be committed to.	Medium	Principal Accountant (Housing) / Planning Monitoring Officer / Housing Strategy and Development Manager	This will be investigated as recommended. TID: 31 March 2023

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4.4.1	Housing Strategy should review the reports regarding relevant planning applications to ensure that their comments are being accurately reflected and are, therefore, given appropriate weight when Planning Committee make their decisions.	Medium	Housing Strategy and Development Manager / Development Manager (Planning)	Meetings have now been set up with Planning to ensure early input into reports. TID: 31 March 2023
Lettings and Void Control – 31 March 2023				
4.2.1	The HomeChoice contract should be monitored by an alternative contract owner.	Medium	Housing Needs Manager	Agreed. Contract owner is now the Housing Needs Manager. TID: 3 April 2023
4.4.5	Monitoring should be performed at least quarterly on applications nominated to RPs.	Low	Housing Needs Manager	Agreed to implement. May require either setting up meetings with the RPs or asking for a copy of their core reports relating to applications processed within Warwick District. Possible collaboration with Council Tax concerning New Builds and Housing Strategy to see if Active H will generate a flag when the expected handover date of nominations has passed. TID: 30 April 2023
4.5.2	Officers should be reminded to collect physical copies of ID verification and upload these to the Housing systems.	Medium	Senior Housing Advice and Allocations Officer	Agreed. TID: 1 August 2023
4.6.1	The Housing Needs Risk Assessment should be updated.	Medium	Housing Needs Manager	Agreed. TID: 30 April 2023

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Recruitment and Selection, Terms and Conditions – 31 March 2023				
4.2.1	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.	Low	Learning and Development Officer	Training provider to be advised to update material accordingly. 30 June 2023
4.2.1	The report regarding the 'how did you hear about this post' question should be run on a regular basis to assess the engagement rates of the different methods of communication used.	Low	Learning and Development Officer	Report completed. Quarterly analysis scheduled to review and action accordingly. 30 July 2023
4.3.1	The Recruitment and Selection Policy should be updated to reflect current (agreed) processes.	Low	HR and Payroll Manager	This will be reviewed and updated as part of the Retention, Recruitment & Remuneration workstream under the People Strategy. TID: September 2023
4.3.2	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.	Low	Learning and Development Officer	Training provider to be advised to update material accordingly. TID: 30 June 2023

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4.4.1	The Recruitment and Selection training provided should highlight that the checking of qualifications is the responsibility of the recruiting managers.	Low	Learning and Development Officer	Training provider to be advised to update material accordingly. TID: 30 June 2023