

**Summary of Recommendations and Management Responses from Internal Audit Reports
issued Quarter 3, 2022/23**

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Financial Strategy, Planning and Budgetary Control – 28 October 2022				
4.1.2	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.	Medium	Principal Accountant	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. TID: April 2023
4.1.2	Limits relating to capital expenditure set out in the Code of Financial Practice should be reviewed to ensure that they remain relevant.	Low	Head of Finance	Code of Financial Practice to be reviewed following recent appointment to Head of Finance. TID: April 2023
4.4.1	The Service Area risk registers available on the intranet should be updated annually to ensure they reflect relevant and current risks.	Low	Audit & Risk Manager	Requests to service managers for updated risk registers, which can then be updated on the Intranet. The Finance Risk register is in its final stages of review and will be updated in October. TID: Dec 2022

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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4.5.1	The advice and FAQs on the intranet Finance Services pages should be reviewed and updated.	Low	Strategic Finance Manager/ Strategic Procurement and Creditors Manager	Legacy documents to be removed from Intranet, and relevant pages reviewed and updated as necessary. TID: Dec 2022
4.5.1	To make the budget book readily available for officers to view, the files available on the Finance page should be reviewed and updated.	Low	Strategic Finance Manager	The Budget book is available on the WDC Internet page as it is a statutory requirement to publish. This is typical for external purposes and budget managers are advised to use the Finance Management System to review and manage budgets. Any guidance notes referring to the budget book will be updated as necessary. TID: Dec 2022
4.5.1	The training documents available on the intranet for budget managers should be updated so the guidance can be used with the new finance system.	Medium	Strategic Finance Manager	Legacy documents to be removed from Intranet, and relevant pages reviewed and updated as necessary. Guidance for the new finance system is already available on the Intranet and will continue to be updated as the system evolves. TID: April 2023

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4.6.1	The accountancy timetable should be reviewed to ensure it is an adequate control to manage the accountancy tasks and resources available.	Medium	Strategic Finance Manager	Timetable review has commenced and is being updated in line with new deadlines. Resourcing and capacity have been reviewed, with the team fully established following successful recruitment. TID: Dec 2022 and on-going
4.6.2	The budget spreadsheets should be reviewed and updated to ensure that current officers only are listed and that the service areas are in line with upcoming changes to the Council's structure.	Low	Strategic Finance Manager	The team structure is currently being reviewed in line with the recently updated organisational structure, to ensure work is distributed evenly across the team and service managers have a consistent dedicated support resource in accountancy. TID: Dec 2022
Council Tax – 9 December 2022				
No Recommendations arising on this occasion (although one 'advisory' was raised).				
National Non-Domestic Rates – 9 December 2022				
No Recommendations arising on this occasion (although four 'advisories' were raised).				
Treasury Management – 31 December 2022				
4.2.1	It should be ensured that the Counterparty Limits spreadsheet accurately reflects the agreed limits and the 'classification' of the funds invested in.	Low	Principal Accountant	The Counterparty Limits spreadsheet will be updated for inclusion in the Treasury Management Strategy Statement report for 2023/24 currently being drafted. TID: 27/01/23

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4.3.1	The Treasury Management Practice documents should be reviewed to ensure that they are complete and up to date.	Low	Principal Accountant	The TMPs will be reviewed as soon as time permits. TID: 31/03/23
Corporate Health and Safety – 31 December 2022				
4.3.1	The health and safety policy statement should be reviewed and updated with current information from the organisational structure agreed on October 2022.	Low	Senior Health and Safety Officer	This was updated in March 2022 and reviewed again following the recent restructure when Corporate internal Health and Safety responsibility was transferred to the Head of Service in the Assets team. An updated copy has been shared. TID: Completed.
4.4.1	The links and information available to staff on the intranet should be reviewed to ensure it is up to date and relevant.	Low	Senior Health and Safety Officer and Facilities Manager	The links are being reviewed and updated or removed as appropriate. TID: April 2023
4.4.1	The health and safety section of the code of conduct should be reviewed to incorporate relevant hybrid health and safety concerns.	Low	Head of People and Communications	The agile working policy is currently being reviewed; once completed and approved the code of conduct will be updated to be brought in line with it. TID: December 2023

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4.5.2	Heads of Service should ensure there are ICE lists in place to comply with the lone worker policy.	Low	Senior Health and Safety Officer	Although staff have been advised to do this there seems to be a reluctance with some in providing the information. HR have advised that the request for the information cannot be mandatory so the lone worker policy will be updated to reflect this. TID: March 2023
4.5.2	Line managers should ensure that staff are inputting emergency contact details onto I-Trent	Low	Senior Health and Safety Officer	See above. Further requests to staff will be issued advising them to provide this information. TID: March 2023
4.5.2	All staff issued with a mobile phone should be reminded to update the details on the staff search function in line with the lone worker policy.	Low	Head of Customer and Digital Services	All staff mobile phones are due to be replaced by the end of the next financial year, and as part of that replacement process, records of staff numbers on the intranet will be updated. TID: March 2023
4.5.2	The appendices listed should be included in the Driving for Work policy	Low	Senior Health and Safety Officer	These have now been attached to the policy. TID: Completed.

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Community Services – 12 December 2022				
4.1.1	Staff should be reminded when new fees come into force.	Low	Licensing Team Leader	Email to be sent to Animal Warden and PDK before Xmas shut down listing the new fees. Website will be updated to reflect the changes. TID: January 2023
4.2.2	There should be a procedure in place that allows other officers to check that income and expenditure in respect of dog services are correct.	Low	Licensing Team Leader	'Stray Dog Registration form' to be introduced. Details also to be inputted onto stray dog register. Invoices to WDC will then have unique ref number on them which can be checked against register to ensure correct payment to PDK is made. TID: February 2023
4.2.2	The costs should be updated and reviewed annually to ensure they are in line with the annual fees and charges schedule agreed at committee.	Low	EH and Licensing Manager/HOS	A process is being developed to ensure the Animal Warden and PDK are notified when new fees and charges are agreed. TID: January 2023
4.5.1	The requirements of the lone worker policy should be reviewed to ensure that the Animal Warden is following the guidance issued.	Low	Licensing Team Leader	Animal Warden work mobile telephone number now on Intranet. TID: Completed.
4.6.1	It should be ensured that there are procedures in place so that the function can operate in the absence of the Animal Warden.	Medium	Licensing Team Leader	Animal warden checklist and guidance notes to be updated and copies given to staff that deal with animal warden duties. TID: March 2023

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Health and Safety Compliance of Council Buildings – 28 November 2022				
4.2.1	Monthly testing should be performed and logged on ActiveH.	Low	Compliance Team Leader / M&E Energy Officer	A compliance report will be run weekly, missing certificates will be followed up and the systems updated as appropriate. TID: Completed.
4.2.1	Shower servicing should be reviewed and carried out at main corporate buildings where facilities are provided and used.	Low	Compliance Team Leader / M&E Energy Officer	A compliance report will be run weekly, missing certificates will be followed up and the systems updated as appropriate. TID: Completed.
4.3.1	Council properties with non-housing tenants should be providing the relevant documentation to comply with legislation such as the Fire safety order 2005.	Low	Senior Building Surveying Project Manager / Compliance Team Leader	There is an identified need to request and review compliance documentation from non-housing/ commercial tenants, although limited resource has only allowed for an intermittent approach to requesting this data and subsequently managing it. It is intended to review this as part of a review of the Neighbourhood and Assets team restructure during 2023. TID: End of July 2023.
Bereavement Services – 10 October 2022				
4.2.1	The crematorium's standard price list should align with the prices quoted on the Council website.	Low	Bereavement Services Development Manager	Agreed. TID: 31 October 2022

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4.3.4	Mandatory training should be given to all staff, as outlined in the training matrix.	Moderate	Bereavement Services Development Manager / Bereavement Services Assistant Manager	Timescales for this will vary depending on the individual needs of the member of staff and the availability of courses or internal facilitator. TID: 31 October 2023
4.4.2	Staff should be reminded to check all request forms before a funeral service takes place.	Low	Bereavement Services Development Manager	Agreed. Reminder to be discussed at next staff meeting. TID: 30 November 2022
Electoral Registration – 20 October 2022				
4.2.1	The price charged to the credit reference agencies should be reviewed to ensure that it still meets the costs of providing the copies of the register.	Low	Electoral Services Manager	This can be reviewed during the next electoral canvass. TID: October 2023
4.6.1	An (updated) risk assessment for canvassers should be performed and recorded on AssessNet before the next round of door-to-door canvassing is undertaken.	Medium	Electoral Services Manager	A new risk assessment will be completed for the personal canvassers carrying out the door knocking canvass ahead of the Canvass in 2023. As part this we will explore the potential of the staff alert list as set out within the advisory note. TID: June 2023 (in time for the next Annual Canvass)

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Planning Policy – 23 December 2022				
4.6.2	The Service Area Lone-Worker Policy should be updated.	Low	Business Manager (Policy & Sites Delivery)	The current lone worker policy remains largely relevant; however, it would benefit from being updated as it was prepared prior to the pandemic, when most staff were office-based for most of the time. TID: 31 March 2023