

**SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS**  
**ISSUED QUARTER 2, 2018/19**

Report Reference	Recommendation	Risk Rating <sup>1</sup>	Responsible Officer	Management Response and Target Implementation Date (TID)
<b>Corporate Governance: Ethics – 22 August 2018</b>				
4.2.5	A programme of 'refresher' postings on Meta Compliance in respect of the Employee Code of Conduct should be considered following re-launch of the revised Code.	Low	Deputy Chief Executive and Monitoring Officer	Agreed. I will discuss with Graham Leach and Karen Weatherburn. TID: 1 February 2019
4.2.6	Incorporation of ethical risks in the Risk Management Framework as a standard category should be considered.	Low	Deputy Chief Executive and Monitoring Officer	I will discuss with Senior Management Team colleagues to determine whether this merits taking forward. TID: 1 October 2019
<b>Insurances – 25 September 2018</b>				
4.2.9	Development of a formal insurance strategy be considered that provides the framework to ensure that the Council has in place an optimal balance between external insurance and self-insurance.	Low	Insurance & Risk Officer	Agreed. Consideration will be given to the introduction of an insurance strategy. TID: End of March 2019

<sup>1</sup> 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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4.3.3	An action tracker be included as part of the update to SMT.	Low	Insurance & Risk Officer	This will be included from the next report. TID: November 2018
4.3.4	The Risk Management Strategy be updated and made available on the Council web site.	Low	Audit & Risk Manager	Agreed and now done. TID: September 2018
4.3.6	Oversight of risk registers by the IARO be embedded to ensure that insurance is considered in all cases.	Low	Audit & Risk Manager / Insurance & Risk Officer	Audit & Risk Manager in process of putting all risk registers on intranet site viewable by all staff. When set up these will be updated quarterly. Insurance & Risk Officer can then view these documents systematically and ensure that due provision has been made for insurance aspects of risks. TID: End of October 2018
4.5.6	The claim forms should be refreshed and reflective of GDPR requirements.	Medium	Insurance & Risk Officer	Wording was reviewed and updated in May 2018 taking into account advice and examples from other authorities in the absence of an Information Governance Manager. Advice will be sought from the Information Governance Manager and wording updated accordingly. TID: End of March 2019
<b>Places and Projects – 13 July 2018</b>				
4.2.4	The 'policy' documents for the Pest Control and Dog Warden services should be reviewed and updated as appropriate.	Low	Services Team Leader	Policies will be reviewed at the earliest opportunity. TID: March 2019

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4.4.5	Staff should be reminded when new fees come into force.	Low	Services Team Leader	New fees are circulated at the beginning of each year. Reminders have been sent following this report. TID: January each year.
4.5.5	All relevant staff should attend the Conflict Management training, with the Pest Control Officers also attending the Lone Worker training.	Low	Services Team Leader	Staff have been requested to attend internal courses relating to Lone Working and Courageous Conversations from the WDC 2018/19 training guide following this report. TID: January 2019
<b>CCTV Services – 14 September 2018</b>				
4.2.8	Service level agreements should be drawn up for those internal customers where they do not currently exist, with existing SLAs being reviewed and revised appropriately to bring them up to date.	Low	Safer Communities Manager / CCTV Manager	This was picked up as an issue and detailed in next steps in the original version of the most recent CCTV report to Executive. It was removed. We will diarise meetings with internal customers to re-visit the SLA's and bring them up to speed with transformation proposals. TID: End of March 2019
4.2.8	An agreement should be drafted between the Council and the landlord of Regent Court setting out the terms and conditions for the provision of CCTV.	Medium	Safer Communities Manager / CCTV Manager	As above but first we will confirm the VAT situation. TID: End of March 2019
4.4.2	Training in the use of TOTAL should be arranged for the CCTV Manager.	Low	Safer Communities Manager	Already identified in the CCTV Managers PDP. TID: End of October 2018

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4.4.8	The charge being made for the provision of CCTV to Regent Court should be reviewed.	Medium	Safer Communities Manager / CCTV Manager	This will be considered as part of 4.2.8. TID: End of March 2019
4.4.9	Arrangements should be made to apply VAT to all future invoices for Regent Court CCTV.	Medium	Safer Communities Manager	CCTV Manager to meet with FAST team. TID: End of October 2019
4.5.3	An up to date, priced inventory, including office furniture, should be compiled and a copy forwarded to the Insurance & Risk Officer in Finance.	Low	CCTV Manager	We already have an inventory for CCTV equipment but will add furniture and other equipment to this. TID: End of January 2019
<b>Leaseholder Service Charges – 17 September 2018</b>				
4.4.5	A more regular debt monitoring and recovery regime should be introduced and, where possible, leaseholders should be required to pay regularly in advance in accordance with the lease.	Medium	Business Administration Manager.	Agreed –implement quarterly reminders for non-payment and actively pursue debt before end of financial year. TID: December 2018 (end of quarter 3)
<b>Asbestos Management – 17 September 2018</b>				
4.4.14	The Contracts Administrator (Asbestos) should be consulted during the planning stages of all housing works projects.	Low	Individual project surveyors	Agreed – will be taken forward as part of the Asset restructure. TID: 1 November 2018
4.5.4	The contractors should be requested to provide annual evidence of their insurance cover, with the request being timetabled in line with the policy renewal dates.	Low	Compliance Administrator (revised structure)	Agreed – will be taken forward as part of the Asset restructure. TID: 1 November 2018

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4.5.7	Entries should be included on AssessNet for other (relevant) corporate buildings and for staff that may come into contact with asbestos containing materials during their day to day work.	Medium	Compliance Team Leader (revised structure)	Agreed but needs ITC support to develop AssessNet to accommodate Asbestos Survey. TID: 1 April 2019