

**CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS**  
**ISSUED IN QUARTER 2 2017/18**

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<b>Housing Rent Collection – 25 July 2017</b>		
As previously recommended the procedures and guidance notes held by Housing Services should be reviewed periodically and updated by a nominated officer. This should be evidenced by the inclusion of a version control table detailing the responsible officer, issue date and next review date. Furthermore, this should also be included when the Income Recovery and Financial Inclusion Manager develops the revised procedures for arrears and debt recovery.	<i>Business Administration Manager:</i> Agreed. The rent procedures and guidance notes will be reviewed and updated as suggested. PID: October 2017	Implemented. The BATeam has a continuous update programme with guidance notes and procedures accessible through the Intranet giving automatic version control. The Business Administration Manager has overall responsibility and control  New Income Recovery Manager in place reviewing procedures for arrears and debt recovery. Process above able to incorporate these additional content
The Business Administration Manager should coordinate the issue and retention of annual declaration forms for all staff across the Council and a central register should be maintained of completed forms. A log should then be produced of all Council employees who are also Council tenants, regardless of the method of rent payment.	<i>Business Administration Manager:</i> It is not thought that a central register is warranted. However, the documentation for all Housing Services staff will be maintained. PID: Annually in July.	Implemented for Housing Services and Asset Management. Undertaken in 2017 using Survey Monkey and planned for July 2018 using SmartSurvey.

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All Tenancy Agreements should be signed and dated by the respective tenants and then retained on file.	<i>Housing Advice and Allocations Manager:</i> Agreed. This should happen anyway. PID: Ongoing.	No further response necessary.
Write off information should be included in the quarterly performance report to ensure the Council is aware of the uncollectable rent total and year to date rents written off.	<i>Income Recovery &amp; Financial Inclusion Manager:</i> A discussion will be held with Finance to ascertain whether the quarterly performance reports are the most appropriate place for this information to be circulated and action will be taken accordingly. PID: March 2018.	We collate this information and report it externally so we are able to input this information onto the quarterly performance report that is provided by Housing Services. I have spoken with Service Improvement team and asked them to include this info and for it to be reported from the start of this year (2018-19).
<b>Royal Spa Centre – 29 September 2017</b>		
Invoices for the hiring of the Royal Spa Centre should be raised in advance of the booking wherever possible. Where this cannot be achieved, a deposit should be requested.	<i>Programming &amp; Marketing Manager:</i> The recommendation is already the existing policy, which requires enforcement. Tasks will be added to the system so that the invoicing / deposit deadlines are adhered to. PID: Review in January 2018.	An improvement has been made in this area with 50% of invoices being sent in advance of the booking. However, further improvement still needs to be made; an upgrade to the current booking system will be made in August 2018 so workflow in regards to this area will be configured as part of that upgrade.

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Staff should be reminded to ensure that visitors are asked to sign in on all occasions.	<i>Technical &amp; Facilities Manager:</i> All staff will immediately be reminded of the procedure regarding building security and visitors. PID: Review January 2018.	Staff made aware.
<b>Town Hall Lettings – 4 August 2017</b>		
All relevant documentation should be retained on the Artifax system.	<i>Programming &amp; Marketing Manager:</i> Our existing procedures dictate that all correspondence and documents should be stored on the system for future reference. This procedure shall be better enforced. All correspondence emails are stored in the shared Spa Hirings email folder (and then archived appropriately.) Any relevant emails and documents are saved to Artifax. PID: From August 2017 Reviewed January 2018.	This is now being enforced All quotes, contracts, invoices and initial enquiries should now be stored on Artifax. Email chains are stored within the spa.hirings archives.
The surcharge for using the Council's insurance should be added in all instances where hirers do not produce their insurance documentation as requested.	<i>Programming &amp; Marketing Manager:</i> This is our existing policy and it will be better enforced. The insurance charge shall be added to all hires in the first instance and only removed if proof of insurance is provided. PID: From August 2017 Reviewed January 2018.	This is now being enforced.

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Regular hirers should be asked to provide updated insurance details on the expiry of their current policy as opposed to when new bookings are made.	<i>Programming &amp; Marketing Manager:</i> This is our existing policy and it will be better enforced. PID: From August 2017 Reviewed January 2018.	Still to be implemented – when the system is upgraded (August 2018). Hirers are currently asked upon booking.
A standard process should be adopted for the retention of insurance documents.	<i>Programming &amp; Marketing Manager:</i> The insurance documents shall be stored on the customer's record on Artifax and tracked via the existing booking procedure. PID: August 2017 Reviewed January 2018.	Still to be implemented – when the system is upgraded (August 2018) Currently stored in both the entity and event.
Risk assessments should be requested for any events that do not fall into the 'meeting' category.	<i>Programming &amp; Marketing Manager:</i> Risk Assessments shall be added to the initial meeting agenda and tracked via the existing booking procedure. PID: August 2017 Reviewed January 2018.	We risk assess each event for fire evacuation internally. The staff that are responsible for booking events at the Town Hall have been reminded that we should be requesting risk assessments from the hirers for events that fall outside the event category.
<b>Shared Legal Services – 24 July 2017</b>		
The user guide should be updated to provide accurate, up to date information and should be rolled out to relevant staff.	<i>Deputy Chief Executive (AJ):</i> Agreed. This will be updated and staff made aware of its refresh. PID: 30/09/17	Guide has been updated and relevant staff made aware.

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SMT should be asked to review the list of authorised commissioning officers to ascertain whether it is still relevant for their departments, and the list should be subsequently updated as necessary.	<i>Deputy Chief Executive (AJ):</i> Agreed. The DCE will liaise with SMT colleagues to ensure commissioning officers are current. PID: 30/09/17	Commissioning list has been updated and WCC advised accordingly.
Budget managers should be reminded of the need to set accurate budgets based on available information.	<i>Deputy Chief Executive (AJ):</i> Agreed. This will be raised at budget review meetings. PID: 30/09/17	Budget managers reminded of need to set accurate and monitor budgets on an ongoing basis.
The monthly coding spreadsheets, supplied by Legal Services, should be made available to all relevant (commissioning) staff.	<i>Deputy Chief Executive (AJ):</i> Agreed. The DCE will liaise with SMT colleagues to ensure they know how such information can be accessed. PID: 30/09/17	This is done on a monthly basis.
<b>Private Sector Housing Regulation – 6 September 2017</b>		
Staff should be reminded of the need to ensure that all items included in works schedules are followed up to ensure that they have been completed.	<i>Private Sector Housing Manager:</i> A reminder has already been given to the team to diarise checks for the works in the HMO license schedules. PID: Completed.  A small amendment to Civica APP is also being proposed that will allow management reports to be generated to be able to monitor and progress the completion of these works although this requires some work to Civica before it can be implemented. PID: November 2017.	This recommendation has been implemented and a second reminder given to the Team  The amendment has been made to Civica APP to enable management reports to be generated. This recommendation has been implemented.

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<b>Refuse Collection and Recycling – 28 September 2017</b>		
Reporting of complaints should show the number of complaints received for refuse collection and recycling, how quickly they were resolved and whether this was to the satisfaction of the customer.	<p><i>Senior Contracts Officer:</i></p> <p>The performance monitoring reports only show the number of formal complaints at departmental level and not for individual services within each department. There are very few formal complaints received in relation to refuse collection and recycling so it is not thought that this information is required in the reports. Issues raised by customers such as missed collections etc. that do not reach the formal complaint stage are separately monitored with measures being included in the team operational plan.</p> <p>PID: Not applicable.</p>	All formal complaints including Stage 1 and Stage 2 complaints are now logged on Civica so all complaints are now monitored as appropriately and measured against.
<b>Street Cleansing – 28 September 2017</b>		
Customer satisfaction with the street cleaning service should be formally monitored and reported.	<p><i>Senior Contracts Officer:</i></p> <p>Customer satisfaction surveys are no longer performed. However feedback is received from the Website Service Manager regarding information and processes available on the council's website that are relevant to the services provided.</p> <p>PID: Not applicable.</p>	We have not requested any information recently from the Website Service Manager. Street Cleaning is continually monitored by our Contract Officers pro-actively and also when we receive complaints reactively. These inspections are recorded on a spreadsheet with a grading system and discussed at our monthly liaison meetings.

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The review process should be strengthened to ensure that all orders are accurate and invoices are received for the correct amount prior to payment being made.	<i>Senior Contracts Officer:</i> Performance checking is undertaken before payment of individual invoices to ensure that if works have not been performed to the required standard the penalties are deducted and the appropriate payment would differ from the original value. PID: Not applicable.	Invoices are monitored on a monthly basis so any Variation Orders which have been raised and carried out to contract specification are checked and verified and any default notices with financial deductions are also checked and the appropriate monthly invoice is paid as agreed.

**CURRENT IMPLEMENTATION POSITION FOR HIGH RISK RECOMMENDATIONS**  
**ISSUED IN QUARTER 4 2017/18**

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<b>Information Governance: Preparedness for General Data Protection Regulations – 9 March 2018</b>		
A full review of all relevant policies and procedures should take place once the new officer is in post.	<i>Information Governance Manager:</i> A report is being brought to Executive in April seeking approval of the Information Governance Framework and associated high level policies. This will also set up the framework for approval of relevant guidance. PID: 5 April 2018	All policies were either adopted by Executive on 5 April 2018 or Employment Committee in March.

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An information audit should be undertaken and Information Asset Owners should be appointed (and trained as appropriate) as soon as practical.	<p><i>Information Governance Manager &amp; Heads of Service:</i></p> <p>The Information Audit is underway with returns being received from Service Areas. Heads of Services are the Information Asset Owners this is being embedded in new Information Governance Policies. Training sessions are being provided as required along with a pre-briefing before the role out of each audit.</p> <p>PID: In place and ongoing</p>	<p>The information asset audit is in place and has now become the Register of Processing Activities. However some teams are yet to complete this work, which is being monitored and reported to SMT for action as Data Asset Owners</p>
The Council should document and implement a procedure for Data Protection Impact Assessments (DPIA).	<p><i>Information Governance Manager:</i></p> <p>This document is in draft form ready to go through the approval process.</p> <p>PID: 30 April 2018</p>	<p>This has been approved by SMT and is now in place. The first PIA have been completed and are being considered for approval.</p>