

SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS
ISSUED QUARTER 3, 2016/17

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date
Corporate Procurement – 25 October 2016				
4.2.8	A review of the staffing of the Procurement Team should be undertaken with a view to examining the options to improve stability.	Medium	Head of Finance	A review of the Procurement function is planned to be commissioned which will consider the aspects that have been raised. March 2017.
4.8.3	The next review of the SBRR should include a risk of not being able to recruit suitable procurement staff and detail the mitigations and actions required.	Medium	Head of Finance	Will be discussed with SMT when the SBRR is next reviewed. 23 November 2016: SMT.
Collection of National Non-Domestic Rates – 9 November 2016				
4.5.10	Applications for exemption on listed building grounds should be verified for valid listed building status.	High	Exchequer Services Manager	Verification of Listed buildings has always been via a listing from a team within Development Services however it has since been established that Historic England are the oracle on listed buildings therefore we have started an exercise to cross reference the listed buildings we hold with Historic England. March 2017.

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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Treasury Management – 9 November 2016				
4.6.5	Authorise the IT Help Desk to give Principal Accountant (Housing) access to the treasury management folders.	Low	Principal Accountant (Capital & Treasury Management)	E mail request sent to ICT Helpdesk October 16 and access enabled. Completed.
Equality and Diversity – 14 December 2016				
No recommendations were found to be necessary for this audit.				
Corporate Health and Safety – 25 October 2016				
4.2.3	The policy and procedure documentation should be reviewed to ensure that it accurately reflects the current processes and any reference anomalies are removed.	Low	Corporate Health & Safety Coordinator / Building Manager	Agreed. This has now been undertaken. Completed.
4.2.3	The documentation held on the Health & Safety team page of the intranet should be removed, with staff being directed to the AssessNet portal to assist with document version control.	Low	Corporate Health & Safety Coordinator / Building Manager	Agreed. This has now been undertaken. Completed.
4.3.7	Relevant staff should be reminded of the need to provide a health and safety induction to any non-council staff working on behalf of the council.	Low	Corporate Health & Safety Coordinator / Building Manager	Agreed. When staff ask for door passes / system access for contractors, they will be reminded of the need to provide an induction. November 2016.

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4.5.7	Relevant risk assessments on AssessNet should be reviewed to ensure that noise hazards are appropriately covered.	Low	Corporate Health & Safety Coordinator / Building Manager	Agreed. Risk assessments will be reviewed. March 2016.
4.10.4	Departments should be reminded of the need to send representatives to the Health & Safety Reps meetings.	Low	Corporate Health & Safety Coordinator / Building Manager	Agreed. This will be raised with SMT. October 2016.
Safeguarding – 7 December 2016				
4.3.5	The Officer Children’s Champion should meet with the Member Children’s Champions to explain their role and to agree a plan of work.	Low	Deputy Chief Executive (BH)	Agreed. DCEX (AJ) will arrange to meet with the Member Children’s Champions. 31 December 2016.
4.4.6	A publicity and awareness campaign should be launched to remind staff of the warning signs and the appropriate response. Regular reminders should be issued thereafter.	Medium	Deputy Chief Executive (BH)	Agreed. Publicity/ awareness campaign to be launched in the new year. DCEX (AJ) & HR/Media to discuss. 31 March 2017.
4.8.3	The status of the outstanding action points should be established and reported to members.	Medium	Deputy Chief Executive (BH)	Agreed. Status of action points on the Improvement Action Plan to be reported to Members. 31 March 2017.

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Affordable Housing Development Programme – 31 October 2016				
4.2.8	The April 2010 Guidance for Developers document should be removed from the council's website.	Low	Housing Strategy & Development Manager	This guidance has now been taken offline. Completed.
Grounds Maintenance – 8 December 2016				
4.3.8	Formal, authorised, variation orders should be maintained for changes to the grounds maintenance contract with these being coordinated through a named officer.	Low	Green Space Development Officer	Changes to the contract bill of quantities will be supported by formal contract variation orders in order to identify the changes made, both in terms of measurement and cost. March 2017.
4.4.4	Budgets for the relevant codes should be set in line with the known costs with budget managers for other codes being informed of the relevant figures to use.	Low	Green Space Development Officer	Where contract variations have an impact on the allocated budget, agreement will first be sought from the budget manager, who can then make the necessary budget allocations. March 2017.
4.4.8	Supporting documentation should be retained for the variable invoices received.	Low	Green Space Development Officer	Contract variation orders will be raised for any work over and above the core contract. December 2016.