

CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 4 2014/15

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Emergency Planning and Business Continuity Management – 30 March 2015		
A decision should be taken as to whether the Elected Members Major Incident Plan is formally issued.	<i>Civil Contingencies Officer:</i> Agreed. The issue will be discussed with the Portfolio Holder following the May elections. 30 June 2015.	H&CP Service Head discussed this with Portfolio Holder (Cllr Grainger) and it was agreed not to formally issue the Elected Members Major Incident Plan. The content contained has since been disseminated via group training, email distribution of content covered and a credit card sized aid memoir which was mailed out to all Councillors.
Consideration should be given to undertaking some general awareness training for staff that are not included in the Gold and Silver groups.	<i>Civil Contingencies Officer:</i> Agreed. Appropriate training will be provided. 31 March 2016.	This training will be provided via the Warwickshire Local Resilience Forum as part of a wider multi-agency programme for Warwickshire Local Authority Bronze Responders. The date is yet to be confirmed by the LRF and may therefore fall into the first half of the new financial year.
Partnership Working – 31 March 2015		
The council's partnership policy should be reviewed and reported to executive for approval.	<i>Deputy Chief Executive:</i> Policy will be reviewed by end of calendar year. 31 December 2015.	Policy was reviewed and has subsequently been agreed by January Council.

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How scrutiny of the council's partnerships should be undertaken should be included in the next review of the partnership policy.	<i>Deputy Chief Executive:</i> Agreed. See above. 31 December 2015.	Scrutiny arrangements to remain as now but much more light-touch.
A report should be presented to Executive seeking an exception to the council's Code of Procurement Practice for the work in managing local nature reserves.	<i>Head of Neighbourhood Services:</i> Procurement Manager has advised that WWT is a sole provider and that there is therefore no need to go out to tender or to get an exemption from Executive. Instead, the Procurement Manager is satisfied that the arrangements be added to the Contract Register in order to note future requirements and the expenditure.	This will be added to the Contract Register ready for the quarterly refresh.
The removal of partnership working should be recorded and managed in service area risk registers where appropriate.	<i>Deputy Chief Executive:</i> Agreed. To be actioned as part of the Policy review. 31 December 2015.	This will be done as part of ongoing partnership management.
Collection of Council Tax – 27 January 2015		
Documentation should be produced and retained to support all debts written off.	<i>Exchequer Manager:</i> Staff will be reminded that appropriate documentation is to be processed for all accounts to support write-off. Immediate.	Instruction given February 2015 – recommendation implemented'

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The delegation of authorisation for writing off council tax debts over £1,000 to the Exchequer Manager should be formally documented.	<i>Head of Finance:</i> Head of Finance to formally document the required delegated authorisation. 31 March 2015.	Actioned February 2015.
Collection of National Non-Domestic Rates – 27 January 2015		
To strengthen control the annual NNDR Civica billing audit evidence file should document clearly those items set out in paragraph 4.1.2 of the Internal Audit report.	<i>Exchequer Manager:</i> Agreed. Year-end Feb 15.	To be implemented this Year End Feb 2016.
Infrastructure Security and Resilience – 5 March 2015		
The infrastructure team should review options around enabling firewall logging on the external firewalls.	<i>Head of ICT:</i> The logging on the external firewall has been amended to match that of the internal firewall.	No update required – recommendation already implemented.
The 'warwick-support' account should be disabled on each of the firewalls and replaced with named individual administrator accounts for those requiring access.	<i>Head of ICT:</i> Individual accounts have been created for named individuals to remove the need to use the generic 'warwick-support' account.	No update required – recommendation already implemented.
The Admin, Administrator and Guest accounts should all be renamed as a matter of good practice.	<i>Head of ICT:</i> The accounts listed have all been renamed.	No update required – recommendation already implemented.

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<p>Management should create a Disaster Recovery report template to be used during the next annual test. This should include the time taken to recover systems and services, whether recovery objectives have been met and include detail on any issues and/or actions arising from the testing.</p>	<p><i>Head of ICT:</i> Accepted – A DR report template will be created in time for the 2015 DR test. November 2015.</p>	<p>A Disaster Recovery Template was created containing the headings detailed in the audit. This template was used and completed for ICT's annual off-site continuity test on the 23-24 November.</p>
<p>Software Licensing – 21 March 2015</p>		
<p>ICT Management should document the process to be followed when entering / amending data regarding applications in Snow. This should include detail on which fields must be completed and the extent of evidence that should be attached.</p>	<p><i>Head of ICT:</i> Agreed. Ad documented process will be developed. June 2015.</p>	<p>A Disaster Recovery Template was created containing the headings detailed in the audit. This template was used and completed for ICT's annual off-site continuity test on the 23-24 November 2015.</p>
<p>ICT Management should perform an exercise to gather licensing information and evidence relating to 'line-of-business' applications. An ongoing requirement that business System Owners provide ICT with relevant license evidence at the point of acquisition should be introduced.</p>	<p><i>Head of ICT:</i> Maintaining and verifying licence information can be an onerous task and therefore needs to be proportionate to the risk. It is believed that a number of our business applications have site licences or in-built connection counters which prevent licences being exceeded. ICT will conduct an audit of business app licensing models and seek further guidance from the ICT Steering Group. May 2015.</p>	<p>A documented procedure has been created describing the process for recording software licence information in the Snow Software Licence Manager System. This includes the fields to be completed and the documents (evidence) to be uploaded.</p>

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ICT Management should obtain assurance from Snow that the application accurately reflects the licenses purchased and detailed in the MLS and that any errors have been rectified.	<i>Head of ICT:</i> The import of the MLS has been completed satisfactorily.	No update required – recommendation already implemented.
Communications – 27 January 2015		
The links that the Communications strategy has with the People Strategy and Channel Strategy should be clearly established.	<i>Customer Contact Manager:</i> Noted. The Channel Strategy is complete. The links with the People Strategy in relation to Staff Engagement are now in place with a regular update being provided to the People Strategy Steering Group. December 2014.	No update required – recommendation already implemented.
The ongoing Staff Engagement work should be incorporated within the Communications Strategy.	<i>Customer Contact Manager:</i> The Staff Engagement work is incorporated within the Communication Strategy. January 2015.	No update required – recommendation already implemented.
The Communication Strategy Action Plan should be monitored and reported to the Senior Management Team at appropriate intervals.	<i>Customer Contact Manager:</i> An agenda item will be on the SMT agenda at regular intervals in addition to the Staff Engagement Action Plan updates. June 2015.	The Communication Strategy Action plan is on SMT agenda six-monthly to monitor. The last time it was considered was in November.
Homelessness and Housing Advice – 3 March 2015		

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<p>Care should be taken to ensure that documentation is retained with the correct case files (either electronic or paper based).</p>	<p><i>Housing Advice & Allocations Manager:</i> All staff will be reminded of the importance of document management. A monthly file audit will be introduced to monitor document management. 31 August 2015.</p>	<p>A process has been set up for carrying out the audit, however the Housing Advice and Allocations Manager post has been mostly vacant since April 2015 and therefore we have not had the capacity to carry out the audits. The third round of recruitment has just been completed following the approval of a market forces supplement and at the time of writing an offer has been made. A start date is still to be agreed, however its likely that the new manager will be in post within 3 months. A revised implementation date is 1st June 2016.</p>
<p>Staff should be reminded of the need to complete all relevant fields in Active-H accurately.</p>	<p><i>Housing Advice & Allocations Manager:</i> All staff will be reminded of the importance of completing fields on Active-H accurately. A monthly file audit will be introduced to monitor the accuracy of data entry. 31 August 2015.</p>	<p>A process has been set up for carrying out the audit, however the Housing Advice and Allocations Manager post has been mostly vacant since April 2015 and therefore we have not had the capacity to carry out the audits. The third round of recruitment has just been completed following the approval of a market forces supplement and at the time of writing an offer has been made. A start date is still to be agreed, however its likely that the new manager will be in post within 3 months. A revised implementation date is 1st June 2016.</p>

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Newbold Comyn Leisure Centre – 10 March 2015		
The £100 petty cash imprest should be repaid from one of NCLC's budgets.	<i>Sports Facilities Area Manager:</i> Petty cash imprest account has been reimbursed from NCLC budget. Petty cash no longer in use in leisure centres and has been replaced by purchase cards with authorised users. 19 March 2015.	No further action required.
The stock control option in Flex should be used as intended to enable standard stock control to operate.	<i>Operations Manager:</i> Nominated Receptionist will be responsible for carrying out stock checks and report any concerns to Operations Manager. Operations Managers will review stock records on a monthly basis and address any discrepancies. 13 March 2015.	This has been fully implemented. When deliveries are received they are checked and entered onto the flex system and stored on reception in lockable cupboards. As the stock is sold it is automatically deducted for the stock.
Supervisors and receptionists should be instructed to ensure that the end of shift cashing-up routine involves two people and that the cashing-up sheet is signed by both of them.	<i>Operations Manager:</i> A memo sent out to Receptionists and Supervisors instructing them to comply with regulation. Operations Manager will maintain an overview of compliance and raise irregularities with relevant staff. 13 March 2015.	Supervisors are now routinely cashing up alongside receptionists and signing cashing up sheets. This is checked each morning by receptionists and any discrepancies are reported to the Operations manager.

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<p>All staff responsible for issuing membership cards should be reminded of the importance of entering issue details on the log sheets.</p>	<p><i>Operations Manager:</i> All staff reminded of the importance of completing membership card issue log. This will be monitored by the supervisors on an ongoing basis. Completed sheets are signed off by Operations Managers before being sent to Riverside House. 13 March 2015.</p>	<p>Log sheets are now routinely checked before being submitted to RSH. The log has improved greatly, however I will continue to remind staff at meetings the importance of completing membership card issue log.</p>
<p>Managers at all sites should ensure that copies of all completed membership card log sheets are forwarded to the Business Support Manager.</p>	<p><i>Sports Facilities Area Manager:</i> Operations Managers send their completed logs to the Business Support Manager who will check for accuracy. 31 March 2015.</p>	<p>These secondary checks by the Business Support manager are now routine procedure.</p>
<p>The centre manager should ensure the correct application of VAT to invoices raised manually.</p>	<p><i>Operations Manager:</i> All managers are aware that VAT needs to be added to fees and charges figures unless otherwise stated. Fees and charges document to be altered to make sure that non vat figures are clearly identifiable. 13 March 2015.</p>	<p>No further actions are required. The improved document has reduced the margin for error.</p>

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The centre manager should instruct all staff to complete and sign the signing in and out book and ensure that any visitors do the same.	<i>Operations Manager:</i> Memo gone out to all staff to say they have read and understood the requirement for staff and visitors to sign in and out. This will be monitored daily by the supervisor on each shift. 19 March 2015.	Monitored by shift supervisors and spot checked by Operations Manager
Economic Development – 31 March 2015		
Formal arrangements for scrutiny of DMO reports and accounts by senior management and Members should be established.	<i>Head of Development Services / Head of Finance:</i> Board reports to be circulated by ED&R manager to DS HoS and Head of Finance. Immediate. Annual Scrutiny Report or Presentation (depending on preference of scrutiny). Annually, by each November.	Reports and Minutes being circulated to DS, HoS and Head of Finance. As a result of the change of the DMO Chief Executive and the pending report of the review of tourism, the Annual report was to be wrapped up in that same report for April 2016.
Environmental Protection Functions – 30 January 2015		
Enhanced exception reporting from APP Civica should be explored to comprehensively capture unclosed service request cases.	<i>Head of Health and Community Protection:</i> Agreed. Now that we have filled a vacant post with some responsibility for collating performance data, this will be monitored through DMT meetings. April 2015.	This has been completed and data is regularly updated and reported to DMT.

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Unclosed APP Civica service requests should be monitored at appropriate intervals to ensure prompt closure action where required.	<i>Head of Health and Community Protection:</i> As above. April 2015.	The backlog of open service requests was tackled. Reports are run on a regular basis so that Managers can check on unclosed cases.
The Contaminated Land Inspection Strategy should be revised to reflect the current approach to discharging the Council's obligations on contaminated land.	<i>Head of Health and Community Protection:</i> The Strategy will be revised. June 2015.	Completed. The Strategy was reported and agreed by Executive.
Refuse Collection and Recycling – 19 March 2015		
Staff should again be reminded of the need to ensure that an appropriate level of detail is recorded on Flare so that anyone else reviewing the case can ascertain exactly what has been done to resolve the issue.	<i>Senior Contract Officer:</i> This work is ongoing and has been brought up in regular 1 to 1's with the Contract Officers. This will continue on a regular basis to ensure compliance. October 2015.	This forms a part of 1 to 1 meetings and is reviewed on a regular basis. There is also a review of all business processes to commence shortly to ensure there is a consistent approach taken by all staff, including the use of the Civica APP system (Flare).
A review should be performed of the complaints that have not been closed on the system to ensure that action is, or has already been, taken as appropriate to investigate the issues raised.	<i>Senior Contract Officer:</i> Due to a recent Service Area restructure, a review of categorising will be carried out shortly. October 2015.	Formal complaints are now dealt with outside of the system. The process is overseen by Democratic Services, with written responses to all formal complaints.

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The issues identified in relation to the variation orders are investigated and are resolved as appropriate.	<p><i>Senior Contract Officer:</i> The issues have been investigated and amended variation orders have been issued to the contractor. Completed.</p>	No update required – recommendation already implemented.
A copy of the performance bond in relation to the contract should be obtained.	<p><i>Head of Neighbourhood Services:</i> The issue is being followed up by the Head of Neighbourhood Services with Legal Services (WCC) who are currently looking into the issue. In progress.</p>	Bonds for all three contracts are in place and held in the deed store.