**SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS
ISSUED QUARTER 1, 2017/18**

Report Reference	Recommendation	Risk Rating[1]	Responsible Officer	Management Response and Target Implementation Date (TID)
Housing Benefit & Council Tax Reduction – 30 June 2017				
4.3.7	Standards of documentation supporting the RBV process should be clarified and relevant staff instructed to observe them.	Low	Benefits & Fraud Manager	It is not a requirement to retain CIS checks as the information should be capable of being retrieved at any point from CIS. However an issue was identified in respect of tax credit checks by external audit and these are now copied to the claim as std practice. Staff will be reminded of the need to complete the RBV evidence check sheet and we will ensure that this is incorporated in to the accuracy checking regime. TID: 5 July 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.

Report Reference	Recommendation	Risk Rating[1]	Responsible Officer	Management Response and Target Implementation Date (TID)
Corporate Training – 30 June 2017				
4.3.5	HR should request SMT to remind Heads of Service and senior managers of the role of the PDP in the appraisal process and the importance of providing them with completed copies.	Medium	HR Manager	Each year emails are sent to SMTplus regularly between May to July to update them on the numbers of PDPs received and asking them to remind their managers to forward these to HR Training. We also remind managers to send in blank PDP's where no development needs are identified. Managers have until end July to send in the PDP's which is a month after Appraisals should be completed. TID: Not applicable.
4.4.6	The Procurement Manager should be consulted on the application of the Code of Practice.	Medium	HR Manager	The council, along with 31 other local authorities, belongs to the West Midlands Employers Organisation, a not-for-profit organisation, which, amongst other things, offers services to support individual and organisational performance improvement. They source training using their own procurement rules and then offer it to members at a discounted rate. This satisfies the requirement of the Code of Procurement Practice to obtain value for money. TID: Not applicable.

Report Reference	Recommendation	Risk Rating[1]	Responsible Officer	Management Response and Target Implementation Date (TID)
Lone Worker Arrangements – 30 June 2017				
4.2.2	The Lone Worker policy should be publicised to all staff.	Low	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with HR	Policy to be reviewed to ensure it is fit for purpose and made available. TID: Sept 2017 To deliver to all staff through Meta Compliance. To be added to work programme to ensure delivery. TID: To follow the policy review
4.3.12	A review should be undertaken to identify other lone working system to ascertain whether they are better suited to the needs of the Council with trials being performed as necessary.	High	Head of Health & Community Protection (SMT sponsor) and Building Manager / Health & Safety Coordinator	Review the current pros and cons of the systems in place (formal and informal), review the needs of individual service/teams and evaluate the market for products which fit the needs of the organisation. TID: Jan 2018
4.3.13	Formal instructions should be drawn up to advise staff when the lone worker system should be used. These should then be publicised to relevant staff.	Low	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with HR	Instructions to be established and made available. TID: Current arrangements – September 2017 / New arrangements – January 2018

Report Reference	Recommendation	Risk Rating[1]	Responsible Officer	Management Response and Target Implementation Date (TID)
4.3.16	Staff within each section should be nominated to contact staff that have not returned to the office as expected.	Medium	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with HR	Staff will be nominated in each section of the organisation to contact staff who have not returned as expected. TID: August 2017
4.3.17	Staff should be advised of the need to keep their details up-to-date on self-serve.	Medium	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with HR	To investigate how self-serve can provide this information in a suitable/timely manner. To investigate who requires what permission in order for this to occur. I.C.E lists to be maintained within service areas to ensure staff access to I.C.E details. Annual/Bi annual big button message to prompt staff to update their personal details and emergency contact details. TID: August 2017

Report Reference	Recommendation	Risk Rating[1]	Responsible Officer	Management Response and Target Implementation Date (TID)
4.3.19	A consistent format should be agreed for the use of any 'informal' systems.	Low	Head of Health & Community Protection (SMT sponsor) and Building Manager / Health & Safety Coordinator	As part of the actions of 4.3.12 TID: January 2018
4.3.20	Staff on the Transforming Our Workplace team should consider what (informal) systems should be employed to track lone workers once staff move to the new HQ.	Low	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with TOW	To be reviewed following outcome of 4.3.12. TID: June 2018
4.3.23	The lone worker training should be promoted to those that undertake lone working.	Low	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with HR All Managers / Supervisors	Lone worker courses provided through HR. All officers requiring this training to be identified and provided the opportunity to attend. New course dates to be published once known. TID: October 2017 & ongoing

Report Reference	Recommendation	Risk Rating[1]	Responsible Officer	Management Response and Target Implementation Date (TID)
4.4.4	Managers should review AssessNet to ascertain whether there are relevant assessments for their team and undertake assessments as necessary.	Medium	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator All Managers / Supervisors	Risk assessments review to be undertaken to ensure relevant RA's include lone working. To delivered IOSH training for supervisors to improve RA skills. TID: November 2017