

Appendix 4

Current Implementation Position for Recommendations Due for Completion by End of Quarter 4 2022/23

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE	TARGET DATE	TARGET DATE REVISED?	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Open Spaces				
All parks and open spaces should be reviewed to determine the frequency of their risk assessments.	<p>Original: There is a need to review the parks risk assessment process based on recent ROSPA recommendations. Need to take a step back and evaluate what is appropriate.</p> <p>Update (October 2022): Discussions have been held with members of the Senior Leadership Team on best way forward including outsourcing the work linked to the parks quality audit, or to have support or guidance internally from within the Council. Plan to have an agreed approach by next quarter.</p> <p>Update (February 2023): Due to meet the Senior Health and Safety Officer at the end of February 2023 to look at methodology and resources required to carry out parks risk assessments. Will have an update end of March.</p>	Initially updated to January 2023 and subsequently to March 2023 (Previous target date of starting from September 2022)	Yes (within this same reporting period)	The Green Space Team met with Senior Health and Safety Officer on 27th February 2023 to discuss the approach needed for parks risk assessments, their frequency and the resources required. From this meeting park risk assessments will be undertaken from May 2023 onwards and will be carried out by the Green Space Team in addition to the play area inspections and tree surveys.

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Leaseholder Service Charges (21/22 Audit)				
An income recovery process should be established and followed.	<p>Original: To create & implement procedure for management and recovery of leaseholder debt.</p> <p>Update (April 2022): Awaiting input from legal services regarding recovery options surrounding first tier tribunals for procedure to be written</p> <p>Update (August 2022): Still awaiting Legal input into recommended process as this is complex area of Law involving use of Tier 1 Tribunals.</p> <p>Have been promised reply several times and told would have some advice back, but still outstanding</p> <p>Update (November 2022) Legal Review has determined that leases need to have clause added to enable Authority to be able to take action to recover costs.</p> <p>Awaiting update from legal in terms of new leases to be used moving forward and what action will be taken to address leases already used that are missing this clause.</p>	January 2023 (Previous target dates from April 2022 onwards)	Yes – revised to May 2023	The Christine Ledger Square response has delayed the finalising of this procedure, but works are currently underway to identify if leaseholder service charges can be recovered through the Sundry Debtor contract.

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	<p>Update (November 2022 v2)</p> <p>Following advice from Legal, it has been decided not to pursue this course of action, so I think we are now some way forward at looking at the possibilities, which will most likely be to develop a process whereby we look at the County Court route to obtain a money order to recover debt. We therefore have some basis now to start to try to look at developing a draft procedure, but this will take some weeks to put together.</p>			
Housing Investment & Maintenance Programmes (21/22 Audit)				
<p>A review of properties without a complete condition survey should be undertaken to determine the current condition of each property.</p> <p>The full condition of all HRA stock should be assessed and a rolling programme of assessments should be implemented to ensure the condition data is accurate and up to date.</p>	We are currently consulting with the Head of Housing on options for re-undertaking cyclical stock condition surveys to the full stock in 2022/23.	March 2023	Not applicable.	A contract has now been let with Penningtons Choices. The long-term project will likely take to 2024/25 to complete.

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A service-specific risk register for Asset Management should be created at the earliest opportunity.	<p>Original: Being developed alongside SDC Property Team.</p> <p>Update: Following the ending of the merger discussions with SDC this now reverts to an Assets issue although with the addition of Bereavement Services and internal health and safety and proposals to create a wider service with former Neighbourhood Services this is now a wider piece of work and will be completed by end 2022.</p> <p>Update: The Property Manager is now working on an update to cover the newly formed Neighbourhood and Assets' service area. This is due to be completed by the end of March 2023.</p>	31 March 2023 (Previous target dates of April and December 22)	Yes – revised to October 2023	Needs to be undertaken as part of the new service planning framework and across Neighbourhood and Assets. The task was allocated to a member of staff who has now left. This will become the responsibility of the new Health and Safety and Premises Manager being recruited who will lead across the service.
Corporate Governance				
A brief summary should be published on the Council website relating to each external body and the work that they carry out and / or the benefits that their work brings to the community.	Agreed that this should be completed by the Annual Review, so that this is in place for the new Council.	March 2023	Yes – revised to May 2023	The data is currently being collated from outside appointments, ready for publication as part of their annual reports. At present, information is awaited from three Councillors. It is intended to be published by early May 2023.

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Community Services				
Staff should be reminded when new fees come into force.	Email to be sent to Animal Warden and PDK before the Christmas shut down listing the new fees. Website will be updated to reflect the changes.	January 2023	Not applicable.	The fees were not increased for 2023 and remain the same as 2022. Therefore, an update did not need to be sent to the Animal Warden and PDK. Going forward, once the fees have been approved by Council each year (and assuming the fees have changed), I will send a copy to the Animal Warden and PDK so they are aware.
The costs should be updated and reviewed annually to ensure they are in line with the annual fees and charges schedule agreed at committee.	A process is being developed to ensure the Animal Warden and PDK are notified when new fees and charges are agreed.	January 2023	Not applicable.	The fees are looked at as part of the wider department annual fee review to ensure that they are cost effective.
There should be a procedure in place that allows other officers to check that income and expenditure in respect of dog services are correct.	'Stray Dog Registration form' to be introduced. Details also to be inputted onto stray dog register. Invoices to WDC will then have unique ref number on them which can be checked against register to ensure correct payment to PDK is made.	February 2023	Yes – revised to May 2023	Additional time is needed to iron out the details on the invoices that are being sent to WDC from PDK. Action to be completed by (end of) May 2023.

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It should be ensured that there are procedures in place so that the function can operate in the absence of the Animal Warden.	Animal warden checklist and guidance notes to be updated and copies given to staff that deal with animal warden duties.	March 2023	Not applicable.	The updated guidance which has now been produced will be distributed to both the Pollution admin team who deal with the Animal Warden service and the Licensing Team should there be no one available in the Pollution team to assist the Animal Warden. There will be a recruitment drive for Community Wardens in the near future and one of their roles will be to support the service (with reference to stray dogs particularly) when the Animal Warden is not on duty.
Corporate Health and Safety				
The health and safety policy statement should be reviewed and updated with current information from the organisational structure agreed in October 2022.	This was updated in March 2022 and reviewed again following the recent restructure when Corporate internal Health and Safety responsibility was transferred to the Head of Service in the Assets team. An updated copy has been shared.	Completed at the time of the final report.	Not applicable.	
The appendices listed should be included in the Driving for Work policy	These have now been attached to the policy.	Completed at the time of the final report.	Not applicable.	

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Heads of Service should ensure there are ICE lists in place to comply with the lone worker policy.	Although staff have been advised to do this there seems to be a reluctance with some in providing the information. HR have advised that the request for the information cannot be mandatory so the lone worker policy will be updated to reflect this.	March 2023	Not applicable.	This has now been made mandatory in the updated lone worker policy. Training has been rolled out via Meta to remind staff to provide this information. HR are currently risk assessing whether I Trent can be used for this purpose securely.
Line managers should ensure that staff are inputting emergency contact details onto I-Trent.	See above. Further requests to staff will be issued advising them to provide this information.	March 2023	Not applicable.	
Health and Safety Compliance of Council Buildings				
Monthly testing should be performed and logged on Active-H.	A compliance report will be run weekly, missing certificates will be followed up and the systems updated as appropriate.	Completed at the time of the final report.	Not applicable.	
Shower servicing should be reviewed and carried out at main corporate buildings where facilities are provided and used.	A compliance report will be run weekly, missing certificates will be followed up and the systems updated as appropriate.	Completed at the time of the final report.	Not applicable.	
Treasury Management				
It should be ensured that the Counterparty Limits spreadsheet accurately reflects the agreed limits and the 'classification' of the funds invested in.	The Counterparty Limits spreadsheet will be updated for inclusion in the Treasury Management Strategy Statement report for 2023/24 currently being drafted.	January 2023	Not applicable.	The counterparty spreadsheet has been amended.

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The Treasury Management Practice documents should be reviewed to ensure that they are complete and up to date.	The TMPs will be reviewed as soon as time permits.	March 2023	Yes – revised to September 2023	These have been significantly re-written but need the S151 Officer to review a number of points. Once comments have been received, time will be needed to amend the documents accordingly.
Food Safety				
Staff should be reminded to visit premises, where allegations of illness have been made, in a timely manner and notify all complainants promptly of the outcome, where appropriate.	The request for service (RFS) reviewed by the auditor was one of two received relating to alleged illness at the same premises from complainants with the same first name – neither responded to officer requests for further information. The complaints were used as intelligence to prompt an inspection at a low-risk food premises and no issues were identified. One RFS was updated and the other was not – a genuine error which has now been corrected. The FSTL now carries out monthly monitoring of all RFSs for response and completion times which will identify any similar occurrence and the officer will receive a prompt using the action diary to record actions taken etc.	January 2023	Not applicable.	An email was sent to all relevant staff which included the spreadsheet created in order to track the RFSs and highlighted that the Open RFSs would be included in the monthly performance measures.

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Financial Strategy, Planning and Budgetary Control				
The advice and FAQs on the intranet Finance Services pages should be reviewed and updated.	<p>Original: Legacy documents to be removed from Intranet, and relevant pages reviewed and updated as necessary.</p> <p>Updated: The Procurement and Purchasing and Payments sites have been updated ready for the migration to the new intranet.</p> <p>The Accountancy intranet site is under review and will be updated to remove all documents relating to the TOTAL system, and updating the team structure. Expected completion by end of February 2023</p>	February 2023 (Previous target date of December 2022)	Not applicable.	All Intranet documentation has been recently reviewed and updated where necessary as part of the closedown process and the updates and movement to the new intranet service. Some old documents will still be required and have been moved to the new intranet site.
Royal Spa Centre				
To mitigate the risk of staff inadvertently using the Council procurement card for personal goods, Council business accounts should be used when purchasing items for business use.	All staff with corporate purchase cards have been asked to check that their card is not linked to their personal online accounts.	Completed at the time of the final report.	Not applicable.	

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Town Hall Lettings				
Invoices should be raised in advance of the booking date.	Invoices will be raised a minimum of 14 days before the event. New post of Programme Coordinator already doing this.	Completed at the time of the final report.	Not applicable.	
Signed hire agreements should be obtained and uploaded to the booking system before the hire date to ensure records are accurate and to confirm that the hirer has agreed to the terms.	Hire agreements are being obtained before the event. New post of Programme Coordinator already doing this.	Completed at the time of the final report.	Not applicable.	
A copy of the insurance document should be obtained and saved with the booking information.	Insurance documents are being obtained before the event. New post of Programme Coordinator already doing this.	Completed at the time of the final report.	Not applicable.	
Financial Systems Interfaces (21/22 Audit)				
The Council should develop formal policies and procedures for the management of the Financial Interfaces with the Ci Anywhere system.	The documentation in place will be expanded upon to enable staff unfamiliar with the interfaces to be able to follow the processes.	March 2023	Not Applicable.	Notes have been enhanced following audit recommendation and are accessible on Sharepoint by relevant users from both Finance and Digital Services (ICT).

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CCTV Services				
The COTL should be included as a SPOC in all relevant documents.	Agreed. COTL to speak with line manager to discuss the best way forward with this.	March 2023	Not Applicable.	Bi-monthly meeting set up with Information Governance Manager to discuss CCTV issues at the different locations within the council. A number of SRO's have been highlighted to start the role out of the SPOC work to ensure all CCTV systems are operating in line with current legislation. A survey has been drafted and is due to be send out imminently. A number of locations have been highlighted to begin the CCTV SPOC work, including the Spa Centre and Pump rooms.
RIPA refresher courses should be made available to the team on either an annual or bi-yearly basis.	Agreed. Information to be sought about the possibility of in-house refresher. If not available, then external providers to be looked at. This will also be added to future PDPs.	March 2023	Not Applicable.	All staff have successfully completed the WDC meta compliance RIPA refresher. This will be expected to be repeated every two years.
Planning Policy				
The Service Area Lone-Worker Policy should be updated.	The current lone worker policy remains largely relevant; however, it would benefit from being updated as it was prepared prior to the pandemic, when most staff were office-based for most of the time.	March 2023	Yes – revised to June 2023	Owing to other pressing matters and the need to take annual leave before the end of the financial year it has not been possible to complete this action

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				<p>within the timescale initially expected.</p> <p>We have had a major consultation on the South Warwickshire Local Plan, I have led public examination hearings for the Council this month on the Net Zero Carbon DPD and I have been busy recruiting and then helping new staff settle in to the organisation (amongst lots of other things!).</p> <p>I do appreciate this is a priority but want to ensure I can commit the appropriate time to reviewing the corporate policy, what we currently have and what my colleagues in Development Management have in place.</p> <p>A new target date of June 2023 is, therefore, suggested.</p> <p>In the meantime new starters are being told about the procedures for going on site and I have recently ensured our ICE information for my team is up-to-date, including for new starters.</p>

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Affordable Housing Development Programme				
If the old monitoring spreadsheet cannot be located, a new version should be set up to ensure that Housing Strategy are able to keep track of progress with relevant housing developments.	Agreed – if the old spreadsheet cannot be located, a new version will be set up.	March 2023	Not Applicable.	Spreadsheet located and updated.
The reconciled figures should be used as the basis of a new commuted sums tracking spreadsheet, should the old one not be located.	Agreed – if the old spreadsheet cannot be located, a new version will be set up.	March 2023	Not Applicable.	Completed.
Investigation should be undertaken to ascertain whether the 'expired' commuted sum needs to be repaid to the developer or can be used on the scheme it is shown to be committed to.	This will be investigated as recommended.	March 2023	Not Applicable.	Pay back has not been requested. Expenditure identified.
Housing Strategy should review the reports regarding relevant planning applications to ensure that their comments are being accurately reflected and are, therefore, given appropriate weight when Planning Committee make their decisions.	Meetings have now been set up with Planning to ensure early input into reports.	March 2023	Not Applicable.	Regular meetings set up and procedures in place for early intervention.

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Emergency Planning and Business Continuity Management				
The roles identified with responsibilities within both the current and the updated EMP should be reviewed to ensure they are using current job titles to so that the correct person can be identified and contacted in an emergency situation.	Roles and responsibilities have been updated and reviewed and are now correct.	March 2023	Not applicable.	The plan has been amended to include the correct job titles.
Microsoft 365 (21/22 Audit)				
Redacted				