

**SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS  
ISSUED QUARTER 1, 2015/16**

<b>Report Reference</b>	<b>Recommendation</b>	<b>Risk Rating<sup>1</sup></b>	<b>Responsible Officer</b>	<b>Management Response and Target Implementation Date</b>
<b>Performance Management – 24 June 2015</b>				
4.2.9	Measures relating to corporate complaints should be included within the corporate measures.	Low	Deputy Chief Executive (AJ)	Agreed. 1 September 2015.
4.3.4	Consideration should be given to increasing the prominence of the service measures information on the council’s website and a review should subsequently be performed to ascertain whether its continued publication is relevant.	Low	Deputy Chief Executive (AJ)	Agreed. 1 September 2015.

<sup>1</sup> 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	Responsible Officer	Management Response and Target Implementation Date
<b>Collection of Council Tax – 27 May 2015</b>				
3.2.3	Exception reporting to highlight Council Tax Reduction awards credited to closed council tax accounts should be explored.	Low	Exchequer Manager / Benefits Manager	We have approached Civica with regard to this issue. Their response "We do not currently have a report for this. I will however approve your change request to the CTS Balancing Report to have a marker to indicate if the account is closed." 1 October 2015.
<b>Payment of Creditors – 26 June 2015</b>				
4.1.3	The Creditors manual should be updated to include sufficient detail relating to the process in place for goods and service receipting and the creditor reports available to the Financial Services staff, in order to assist with the managing of the creditor function and to document the complete creditor control environment.	Low	Finance Administration Manager	The creditor's manual is an FSTeam procedure manual, the FSTeam do not receive goods and therefore there is no need for a goods and receipting process. The manual isn't a corporate document; it details tasks that are only relevant to the FSTeam. However, the manual will be added to in respect of reports and in particular the year-end Orders process. Following the audit this has been discussed and agreed with the Auditor. October 2015.

Report Reference	Recommendation	Risk Rating	Responsible Officer	Management Response and Target Implementation Date
4.7.3	An invoice grid stamp should be forwarded to the Royal Spa Centre.	Low	Finance Administration Manager	<p>The Spa Centre already had a “voucher” stamp in use which is signed by an appropriate officer to authorise payment which naturally should only be when goods have been received. However, the FSTeam had two spare stamps, same as they use, that clearly has wording for goods received, internal reference and batch numbers, they have already been forwarded to the Spa Centre and an email sent to Laura Bates (Deputy Manager) on 2<sup>nd</sup> June 2015 requesting that these new stamps are used from now on. I have also forwarded this email to David Guilding (Spa Centre Manager) on 29<sup>th</sup> June 2015 to reiterate stamp usage on invoices.</p> <p>June 2015 – cleared.</p>

<b>Report Reference</b>	<b>Recommendation</b>	<b>Risk Rating<sup>2</sup></b>	<b>Responsible Officer</b>	<b>Management Response and Target Implementation Date</b>
<b>Sports Development – 30 June 2015</b>				
4.4.5	Further efforts should be made to obtain the outstanding monitoring forms for 2014/2015.	Low	Active Communities Officer	Further emails to be sent out to all the non returns in July 2015 to request monitoring forms, and to be followed up by phone calls in August 2015. By end August 2015.
4.4.7	The scheme of virement should be applied when necessary to transfer funds between budgets.	Medium	Active Communities Officer / Business Support Manager	Budgets will be reviewed monthly and the scheme of virement will be applied as necessary for the remainder of the financial year. Monthly throughout the financial year.

<sup>2</sup> 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 <sup>3</sup>	Responsible Officer	Management Response and Target Implementation Date
<b>Building Cleaning Services – 26 June 2015</b>				
4.1.4	Copies of emails / quotes relating to additional works ordered should be retained.	Low	Sustaining Tenancies Manager	A system to retain all copies of e-mails and quotes, relating to additional works, has been set up (25/06/15). Completed.
4.1.5	Formal monitoring documents should be drawn up and used.	Low	Sustaining Tenancies Manager	Will be discussed at the next meeting with Ocean on 29/06/15. August 2015.
4.1.9	Formal performance meetings are held in the future which are minuted appropriately.	Low	Sustaining Tenancies Manager	All future meetings will be minuted appropriately and the minutes will be retained, starting with the next meeting (29/06/15). July 2015.
4.1.12	A formal log of complaints received should be maintained, including details as to how they have been investigated and resolved as appropriate.	Low	Sustaining Tenancies Manager	A system to log complaints, including details of how they have been investigated and resolved, has been set up. Completed.

<sup>3</sup> 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.

<b>Report Reference</b>	<b>Recommendation</b>	<b>Risk Rating<sup>3</sup></b>	<b>Responsible Officer</b>	<b>Management Response and Target Implementation Date</b>
4.1.15	For both rectification & default notices, formal numbering should be introduced, along with a summary document, to track what has been issued & when.	Low	Sustaining Tenancies Manager	A system to number the rectification and default notices has been set up. Completed.
4.2.3	The budget for Town Hall cleaning should be amended in line with the actual contract value.	Low	Sustaining Tenancies Manager	A meeting is to be arranged with the relevant Principal Accountant to discuss the issue. July 2015.
4.2.4	The current situation with regards to the services provided at the Althorpe Enterprise Hub and the Glasshouse and the associated costs should be formalised by issuing a new variation order.	Low	Sustaining Tenancies Manager	The situation with the Althorpe Enterprise Hub and the Glasshouse is to be confirmed and a new variation order will be issued. August 2015.
4.2.5	The next payment to Ocean should be amended to take into account all of the penalties that have been levied as per the default notices issued.	Low	Sustaining Tenancies Manager	We are currently carrying out an exercise to check which penalties, relating to the default notices issued, are outstanding so that we can amend the payment to Ocean. August 2015.
4.3.4	A performance bond should be obtained in relation to the contract, whether or not it is re-let.	Low	Sustaining Tenancies Manager	A performance bond has been requested from Ocean (26/06/15). September 2015.
4.3.6	Up-to-date insurance documentation should be obtained from Ocean.	Medium	Sustaining Tenancies Manager	Up to date insurance documentation has been obtained from Ocean and is on file. Completed.

<b>Report Reference</b>	<b>Recommendation</b>	<b>Risk Rating<sup>3</sup></b>	<b>Responsible Officer</b>	<b>Management Response and Target Implementation Date</b>
4.3.6	An officer should be appointed to obtain new insurance documents following the annual insurance renewals.	Low	Sustaining Tenancies Manager	A generic electronic diary / calendar is to be set up for the Cleaning Contract administration and renewal dates will be entered onto the calendar to remind the contract administrator to obtain new insurance documents following the annual insurance renewals. July 2015.
4.3.6	The insurance documents, once received, should be checked to ensure that insurance is held in line with the contract requirements.	Medium	Sustaining Tenancies Manager	Insurance documents were checked by the Insurance Officer on 18/06/15. Completed.
4.3.8	Risks relating to the cleaning of buildings should be included in the Housing & Property Services risk register as appropriate.	Low	Sustaining Tenancies Manager	To be added to the risk register. September 2015.
4.3.10	Updated method statements should be obtained and these should be reviewed for adequacy once received.	Low	Sustaining Tenancies Manager	Method statements have been obtained from Ocean and these are to be reviewed for adequacy. September 2015.
4.3.11	Ocean should be made aware of the issues encountered during the recent fire drill and should be provided with details of the fire evacuation procedures for all buildings in which they work.	Medium	Sustaining Tenancies Manager	Ocean were made aware of the issues at a meeting in May 2015 and have been provided with fire evacuation procedures. A request for an update / confirmation will be made from Ocean at the next meeting on 29/06/15. July 2015.