

CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 2 2013/14

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Main Accounting System – 25 September 2013		
The Master Hierarchical Cost Centre schedule should be periodically reviewed and discontinued codes deleted.	<i>Strategic Finance Manager:</i> Need to be done is recognised, but have to consider retention of sufficient history for reference. March 2014.	Discussed with Principal Accountants, one of whom is System Manager. These cannot be deleted as all previous years' activity would also be lost. Statute requires that 6 years previous accounts, plus current be kept.
Staff should be encouraged to enter clear header narratives in journal including overwriting default entries from journal templates where applicable.	<i>Strategic Finance Manager:</i> Meeting to be arranged with the Principal Accountants to consider the form this will take. March 2014.	Accountants have been instructed to provide clear meaningful narratives. The Principal Accountant (Systems) regularly reviews that this is happening as part of the Monthly Budget Review Process.
Document Management Centre – 30 September 2013		
Staff on Reception should be reminded of the need to record sufficient levels of detail on manual receipts issued, including a form of cross referencing to the PARIS receipts subsequently produced.	<i>Team Leader (Warwickshire Direct):</i> The old process of attaching a copy PARIS receipt to the manual receipt will be reinstated to show the link between the two records. Immediately.	Completed – all staff emailed 24/09/2013

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Staff on Reception should be reminded of the need to cash up at the agreed times.	<i>Team Leader (Warwickshire Direct):</i> Agreed. However, there is a possibility that the agreed times may be amended (brought forward). The reasoning behind these suggested changes will be provided separately. Immediately.	Completed – we were given permission to change the time on a Friday, and procedures have been updated.
Staff should be reminded of the need to ensure that monies are accurately receipted, with monies being securely placed in the cash drawers.	<i>Team Leader (Warwickshire Direct):</i> Agreed. Staff will be reminded. Immediately.	Completed and all staff reminded to check receipts and to make sure that the cash drawer is locked at all times. Reminder has been placed on reception
Relevant departmental staff should be consulted to ask if they can promote alternative payment methods to their customers in order to reduce the amount of cash taken by Reception.	<i>DMC Team Leader:</i> Agreed. This will be discussed with staff in the relevant service areas. The need for increased security will also be discussed with the Senior Project Coordinator for consideration as part of the Riverside House 'redesign'. 31/10/13.	This is an ongoing issue as service areas are involved in redesigns/take on new business etc. It is also addressed via the requests for payments taken over the website e.g. via Capita miscellaneous payments. Ongoing.
The DMC service catalogue on the intranet should be updated.	<i>DMC Team Leader:</i> Agreed. This is scheduled to be updated as part of the new intranet that is due shortly. 31/12/13.	In dialogue with Ema Townsend, delayed due to delay with the new intranet. Deadline now 31/12/14.

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<p>Recharges should be based on figures relating to the correct period.</p>	<p><i>DMC Team Leader:</i> It had been previously identified that it was extremely time consuming for the team to calculate re-charges accurately (accounting for 3 days of time in a working week). The efficiency measures of basing calculations on the DTL's knowledge of the regular services undertaken were discussed with the Head of Finance and the current approach was agreed.</p>	<p>No further response required.</p>

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VAT Accounting – 30 September 2013		
<p>The feasibility of re-configuring Paris to split VAT from Spa Centre bankings automatically should be investigated.</p>	<p><i>Strategic Finance Manager:</i></p> <p>We are in the process of upgrading the PARIS system and introducing a new module "On line Returns". This module will enable service users to break down their income types at source, and the system will automatically assign the correct treatment of VAT (i.e. VATable or not). The project is currently delayed due to issues with the supplier having not resolved problems with the upgrade that needs to happen first. Once the upgrade has happened, we will proceed to test the "On Line Returns" module prior to rolling out training and using in Live. Currently, there would be limited value in using resources to implement a system that would yield a benefit for a short time. The situation is being closely monitored and if necessary, alternative measures will be introduced to action the recommendation.</p> <p>Reliant on Supplier.</p> <p>PARIS Upgrade by March 2014 at the very latest.</p> <p>"On line Returns" summer 2014.</p>	<p>Our Suppliers are in the process of implementing this. The principal Accountant has started work on building the necessary forms to support this. Testing and Roll-out will be during the Autumn. Actual delivery will be dependent upon our Suppliers continuing to provide their resources.</p>

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Office Cleaning Contract – 1 August 2013		
Council staff access to the contractor's 'cloud' system should be organised as soon as possible with appropriate training.	<i>Estates Supervisor:</i> Already spoken with Ocean and they are in advanced stages of dealing with this. End of November 2013.	Still awaiting full implementation by ocean as technology has changed. Expected September 31 st 2014.
Contact details and e-mail links should be clearly inserted on appropriate Council website pages for Council tenants, car park users and users of sports pavilions.	<i>Estates Supervisor:</i> Update various pages to include contact details after speaking with relevant departments as I cannot update their webpages myself. End of September 2013.	Pages were loaded will need to be updated in September 14 as there has been some change in numbers.
St Nicholas Park Leisure Centre – 1 August 2013		
All orders placed should be fully and accurately priced as far as possible and include carriage.	<i>Operations Manager:</i> Where possible, the cost of carriage will be added to the orders when they are put on to TOTAL. July 2013.	Carriage is added to orders, when known. If not known then an estimate cost is allocated.

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Procurement options should be reviewed, with appropriate methods being employed, in line with the Code of Financial Practice, to ensure that value for money is being obtained.	<p><i>Sports Facilities Area Manager:</i></p> <p>The Sports Facilities Area Manager is currently in the process of looking into contracts regarding re-sales.</p> <p>The issue regarding the pool chemicals may require plant to be replaced.</p> <p>Ongoing.</p>	A new contract has been set for the supply of resale items for the swimming pools.
The next imprest claim should be amended by the amount of the discrepancy identified, to bring the account back into balance.	<p><i>Operations Manager:</i></p> <p>When monies for receipts are returned from Finance the petty cash will be returned to the correct figure of £100.</p> <p>August 2013.</p>	Done – petty cash is now at £100.
Management spot-checks of the petty cash should be undertaken and evidenced on the log sheet held.	<p><i>Sports Facilities Area Manager:</i></p> <p>The Sports Facilities Area Manager to undertake spot checks at various one to one meetings throughout the year.</p> <p>October 2013.</p>	Petty cash has been removed and the operations managers now have purchase cards.
The stated stock check frequencies are adhered to, with substitute staff being nominated in case of the absence of the Receptionist.	<p><i>Operations Manager:</i></p> <p>As part of the ongoing work being undertaken with the Supervisors, one of them will be allocated duties to work with the receptionist on resales.</p> <p>October 2013.</p>	Supervisor roles are currently being reviewed and this task is one of those to be allocated.

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Staff should be reminded of the need to take care when ringing through stock sales on the Flex system and that stock items should not be loaned out.	<p><i>Operations Manager:</i></p> <p>Staff working on the reception have been emailed to remind them not to loan out stock.</p> <p>Completed July 2013.</p>	No further response required.
The pay scales for the swimming teacher should be reviewed with a decision being made as to whether the amended rate should be implemented and backdated as appropriate.	<p><i>Sports Facilities Area Manager:</i></p> <p>The Sports Facilities Area Manager is reviewing Swim Teacher pay grades and will take the appropriate action.</p> <p>October 2013.</p>	This work is linked to the options appraisal and programme review work which are both still in progress.
Staff should be again reminded of the need to ensure that refunds and voids are processed by supervisors, independently of the staff member who had processed the original transaction, with the receipts being signed off to confirm that this has been performed appropriately.	<p><i>Operations Manager:</i></p> <p>All reception and supervisor staff have been made aware of the need to have refunds processed and verified by Supervisors.</p> <p>July 2013.</p>	No further response required.
A member of centre staff should be present during the emptying of the weighing machine to verify the cash counted.	<p><i>Operations Manager:</i></p> <p>Supervisors have been made aware of this and will endeavour, where possible, to be present when the machine is emptied.</p> <p>Ongoing.</p>	No further response required.

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<p>Efforts should be made to ensure that folios include an appropriate amount of detail and that all invoices are raised at the correct rates, with particular focus being given when new fee periods come into effect.</p>	<p><i>Operations Manager:</i> Staff responsible for raising the invoices have been made aware of the need to ensure accuracy on all folios. Errors identified in the audit have now been eradicated. July 2013.</p>	<p>No further response required.</p>
<p>All membership cards should be issued in sequential order to aid the monitoring of cards stocks, with this monitoring being performed on a regular (weekly) basis.</p>	<p><i>Operations Manager:</i> Reception staff have been informed to issue Get Active cards in sequential order. July 2013.</p>	<p>No further response required.</p>

CURRENT IMPLEMENTATION POSITION FOR HIGH RISK RECOMMENDATIONS
ISSUED IN QUARTER 4 2013/14

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Data Protection – 18 February 2014		
<p>The current arrangements for handling subject access requests should be reviewed to determine and implement actions for improving compliance.</p>	<p><i>Democratic Services Manager:</i> This is of concern and will be reviewed as a matter of urgency to see how this can be improved. The majority of cases were about ensuring responses were sent on time and ensuring the log is updated to show cases have been closed off. While this has improved there is a need to improve this further. April 2014.</p>	<p>The requests are now logged by the Democratic Services Assistants rather than democratic Services Manager. In line with FOI requests they chased after 20 days (half way through the request) and after 39 days.</p> <p>Response rates from 15 requests is that four have been sent late, two exceptionally late. Two we have been unable to verify that a response has been sent and are actively chasing these for confirmation. That said, since April, out of the 9 requests only 2 have been late responses. This is an area to be worked upon further which it is hoped further awareness training for all staff will help.</p> <p>However, since the publication of the Audit report in February a preferred case management system has been identified and a new e-learning system has been purchased and is due to be rolled out in the latter half of the year.</p> <p>In addition to this the revised policies are now progressing with the attention for these to be considered by the ICT steering Group in early Autumn.</p>

