

**CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS**  
**ISSUED IN QUARTER 1 2015/16**

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<b>Performance Management – 24 June 2015</b>		
Measures relating to corporate complaints should be included within the corporate measures.	<i>Deputy Chief Executive (AJ):</i> Agreed. 1 September 2015.	This will be in place for the first quarter of 2016/17 and going forward.
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.	<i>Deputy Chief Executive (AJ):</i> Agreed. 1 September 2015.	Performance was published but over a period of twelve months the page had only 95 visits so publication will be discontinued. Should a customer want the information it can be provided.
<b>Collection of Council Tax: Collection and Refunds Sub-system – 27 May 2015</b>		
Exception reporting to highlight Council Tax Reduction awards credited to closed council tax accounts should be explored.	<i>Exchequer Manager / Benefits Manager:</i> 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.	Change request actioned by Civica and now cases as described in the recommendation will have a visible marker so that they can be explored. Action therefore complete.

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<b>Payment of Creditors – 26 June 2015</b>		
<p>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.</p>	<p><i>Finance Administration Manager:</i> 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.</p>	<p>The agreed recommendation action to add purchase order reports and the year-end process to the internal FSTeam use-only creditor's procedure manual has been completed. The process detail can be found on pages 51-52 in the current version of the manual as at today's date of 10<sup>th</sup> May 2016. However, please note that this is an evolving manual and page numbers may change with subsequent updates. A copy of the current version has been supplied to Richard Barr to evidence this implementation.</p>

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<p>An invoice grid stamp should be forwarded to the Royal Spa Centre.</p>	<p><i>Finance Administration Manager:</i>  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.  June 2015 – cleared.</p>	<p>No further response required – recommendation addressed as per initial response.</p>

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<b>Sports Development – 30 June 2015</b>		
Further efforts should be made to obtain the outstanding monitoring forms for 2014/2015.	<i>Active Communities Officer:</i> 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.	Emails sent in July 2015 requesting monitoring returns from all outstanding grant recipients. This was followed up in August 2015 with phone calls requesting outstanding returns. A total of 17 sports grants awarded in 2014/15, with completed returns received for 14. Follow up email's to be sent for the 3 outstanding returns in April 2016 requesting monitoring returns.
The scheme of virement should be applied when necessary to transfer funds between budgets.	<i>Active Communities Officer / Business Support Manager:</i> 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.	Monthly review of budgets has been happening and the appropriate use of virement has been applied as necessary.
<b>Building Cleaning Services – 26 June 2015</b>		
Copies of emails / quotes relating to additional works ordered should be retained.	<i>Sustaining Tenancies Manager:</i> A system to retain all copies of e-mails and quotes, relating to additional works, has been set up (25/06/15). Completed.	No further response required – recommendation addressed as per initial response.

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Formal monitoring documents should be drawn up and used.	<i>Sustaining Tenancies Manager:</i> Will be discussed at the next meeting with Ocean on 29/06/15. August 2015.	Neighbourhood Estates Manager now in post , drawing up formal appropriate monitoring documents which will be used.
Formal performance meetings are held in the future which are minuted appropriately.	<i>Sustaining Tenancies Manager:</i> All future meetings will be minuted appropriately and the minutes will be retained, starting with the next meeting (29/06/15). July 2015.	Complete: Ocean provide minutes and agendas of formal meetings ongoing.
A formal log of complaints received should be maintained, including details as to how they have been investigated and resolved as appropriate.	<i>Sustaining Tenancies Manager:</i> A system to log complaints, including details of how they have been investigated and resolved, has been set up. Completed.	No further response required – recommendation addressed as per initial response.
For both rectification & default notices, formal numbering should be introduced, along with a summary document, to track what has been issued & when.	<i>Sustaining Tenancies Manager:</i> A system to number the rectification and default notices has been set up. Completed.	No further response required – recommendation addressed as per initial response.
The budget for Town Hall cleaning should be amended in line with the actual contract value.	<i>Sustaining Tenancies Manager:</i> A meeting is to be arranged with the relevant Principal Accountant to discuss the issue. July 2015.	Mark Smith had been tasked to deal with this. Will follow up with Principal Accountant (Housing) to ensure amended.

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<p>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.</p>	<p><i>Sustaining Tenancies Manager:</i> The situation with the Althorpe Enterprise Hub and the Glasshouse is to be confirmed and a new variation order will be issued. August 2015.</p>	<p>Variation Order has been issued to Ocean.</p>
<p>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.</p>	<p><i>Sustaining Tenancies Manager:</i> 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.</p>	<p>Credit processed in Feb 15 for £22k no further defaults or penalties have been issued.</p>
<p>A performance bond should be obtained in relation to the contract, whether or not it is re-let.</p>	<p><i>Sustaining Tenancies Manager:</i> A performance bond has been requested from Ocean (26/06/15). September 2015.</p>	<p>A copy of the performance bond has been filed in the deed store with the signed contract.</p>
<p>Up-to-date insurance documentation should be obtained from Ocean.</p>	<p><i>Sustaining Tenancies Manager:</i> Up to date insurance documentation has been obtained from Ocean and is on file. Completed.</p>	<p>No further response required – recommendation addressed as per initial response.</p>

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<p>An officer should be appointed to obtain new insurance documents following the annual insurance renewals.</p>	<p><i>Sustaining Tenancies Manager:</i>  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.</p>	<p>Neighbour Estates Manager (in post from April 2016) will monitor this going forward.</p>
<p>The insurance documents, once received, should be checked to ensure that insurance is held in line with the contract requirements.</p>	<p><i>Sustaining Tenancies Manager:</i>  Insurance documents were checked by the Insurance Officer on 18/06/15.  Completed.</p>	<p>No further response required – recommendation addressed as per initial response.</p>
<p>Risks relating to the cleaning of buildings should be included in the Housing &amp; Property Services risk register as appropriate.</p>	<p><i>Sustaining Tenancies Manager:</i>  To be added to the risk register.  September 2015.</p>	<p>Now included in risk register and monitored periodically.</p>
<p>Updated method statements should be obtained and these should be reviewed for adequacy once received.</p>	<p><i>Sustaining Tenancies Manager:</i>  Method statements have been obtained from Ocean and these are to be reviewed for adequacy.  September 2015.</p>	<p>Method statements have been received and reviewed.</p>

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<p>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.</p>	<p><i>Sustaining Tenancies Manager:</i>  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.</p>	<p>Ocean have been issued with Fire procedures.</p>