

SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS
ISSUED QUARTER 2, 2017/18

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Housing Rent Collection – 25 July 2017				
4.2.2	As previously recommended the procedures and guidance notes held by Housing Services should be reviewed periodically and updated by a nominated officer. This should be evidenced by the inclusion of a version control table detailing the responsible officer, issue date and next review date. Furthermore, this should also be included when the Income Recovery and Financial Inclusion Manager develops the revised procedures for arrears and debt recovery.	Low	Business Administration Manager	Agreed. The rent procedures and guidance notes will be reviewed and updated as suggested. TID: October 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 Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.3.4	The Business Administration Manager should coordinate the issue and retention of annual declaration forms for all staff across the Council and a central register should be maintained of completed forms. A log should then be produced of all Council employees who are also Council tenants, regardless of the method of rent payment.	Low	Business Administration Manager	It is not thought that a central register is warranted. However, the documentation for all Housing Services staff will be maintained. TID: Annually in July.
4.5.4	All Tenancy Agreements should be signed and dated by the respective tenants and then retained on file.	Low	Housing Advice and Allocations Manager	Agreed. This should happen anyway. TID: Ongoing.
4.9.7	Write off information should be included in the quarterly performance report to ensure the Council is aware of the uncollectable rent total and year to date rents written off.	Low	Income Recovery & Financial Inclusion Manager	A discussion will be held with Finance to ascertain whether the quarterly performance reports are the most appropriate place for this information to be circulated and action will be taken accordingly. TID: March 2018.
Royal Spa Centre – 29 September 2017				
4.6.14	Invoices for the hiring of the Royal Spa Centre should be raised in advance of the booking wherever possible. Where this cannot be achieved, a deposit should be requested.	Low	Programming & Marketing Manager	The recommendation is already the existing policy, which requires enforcement. Tasks will be added to the system so that the invoicing / deposit deadlines are adhered to. TID: Review in January 2018.

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.7.5	Staff should be reminded to ensure that visitors are asked to sign in on all occasions.	Medium	Technical & Facilities Manager	All staff will immediately be reminded of the procedure regarding building security and visitors. TID: Review January 2018.
Town Hall Lettings – 4 August 2017				
4.4.3	All relevant documentation should be retained on the Artifax system.	Low	Programming & Marketing Manager	Our existing procedures dictate that all correspondence and documents should be stored on the system for future reference. This procedure shall be better enforced. All correspondence emails are stored in the shared Spa Hirings email folder (and then archived appropriately.) Any relevant emails and documents are saved to Artifax. TID: From August 2017 Reviewed January 2018.
4.5.4	The surcharge for using the Council's insurance should be added in all instances where hirers do not produce their insurance documentation as requested.	Low	Programming & Marketing Manager	This is our existing policy and it will be better enforced. The insurance charge shall be added to all hires in the first instance and only removed if proof of insurance is provided. TID: From August 2017 Reviewed January 2018.
4.5.4	Regular hirers should be asked to provide updated insurance details on the expiry of their current policy as opposed to when new bookings are made.	Low	Programming & Marketing Manager	This is our existing policy and it will be better enforced. TID: From August 2017 Reviewed January 2018.

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
4.5.5	A standard process should be adopted for the retention of insurance documents.	Low	Programming & Marketing Manager	The insurance documents shall be stored on the customer's record on Artifax and tracked via the existing booking procedure. TID: August 2017 Reviewed January 2018.
4.5.7	Risk assessments should be requested for any events that do not fall into the 'meeting' category.	Medium	Programming & Marketing Manager	Risk Assessments shall be added to the initial meeting agenda and tracked via the existing booking procedure. TID: August 2017 Reviewed January 2018.
Shared Legal Services – 24 July 2017				
4.3.1	The user guide should be updated to provide accurate, up to date information and should be rolled out to relevant staff.	Low	Deputy Chief Executive (AJ)	Agreed. This will be updated and staff made aware of its refresh. TID: 30/09/17
4.3.5	SMT should be asked to review the list of authorised commissioning officers to ascertain whether it is still relevant for their departments, and the list should be subsequently updated as necessary.	Low	Deputy Chief Executive (AJ)	Agreed. The DCE will liaise with SMT colleagues to ensure commissioning officers are current. TID: 30/09/17
4.4.6	Budget managers should be reminded of the need to set accurate budgets based on available information.	Low	Deputy Chief Executive (AJ)	Agreed. This will be raised at budget review meetings. TID: 30/09/17
4.4.10	The monthly coding spreadsheets, supplied by Legal Services, should be made available to all relevant (commissioning) staff.	Low	Deputy Chief Executive (AJ)	Agreed. The DCE will liaise with SMT colleagues to ensure they know how such information can be accessed. TID: 30/09/17

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Rural & Urban Capital Improvement Schemes – 31 July 2017				
No recommendations were required on this occasion.				
Private Sector Housing Regulation – 6 September 2017				
4.4.8	Staff should be reminded of the need to ensure that all items included in works schedules are followed up to ensure that they have been completed.	Medium	Private Sector Housing Manager	<p>A reminder has already been given to the team to diarise checks for the works in the HMO license schedules.</p> <p>TID: Completed.</p> <p>A small amendment to Civica APP is also being proposed that will allow management reports to be generated to be able to monitor and progress the completion of these works although this requires some work to Civica before it can be implemented.</p> <p>TID: November 2017.</p>
Refuse Collection and Recycling – 28 September 2017				
4.2.16	Reporting of complaints should show the number of complaints received for refuse collection and recycling, how quickly they were resolved and whether this was to the satisfaction of the customer.	Medium	Senior Contracts Officer	<p>The performance monitoring reports only show the number of formal complaints at departmental level and not for individual services within each department. There are very few formal complaints received in relation to refuse collection and recycling so it is not thought that this information is required in the reports. Issues raised by customers such as missed collections etc. that do not reach the formal complaint stage are separately monitored with measures being included in the team operational plan.</p> <p>TID: Not applicable.</p>

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date (TID)
Street Cleansing – 28 September 2017				
4.2.16	Customer satisfaction with the street cleaning service should be formally monitored and reported.	Medium	Senior Contracts Officer	Customer satisfaction surveys are no longer performed. However feedback is received from the Website Service Manager regarding information and processes available on the council's website that are relevant to the services provided. TID: Not applicable.
4.4.8	The review process should be strengthened to ensure that all orders are accurate and invoices are received for the correct amount prior to payment being made.	Medium	Senior Contracts Officer	Performance checking is undertaken before payment of individual invoices to ensure that if works have not been performed to the required standard the penalties are deducted and the appropriate payment would differ from the original value. TID: Not applicable.