

Current Implementation Position for Low and Medium Risk Recommendations
issued in Quarter 4 2018/19

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Corporate Property & Portfolio Management – 22 March 2019		
The draft strategy should be considered for approval to ensure that the Council has framework in place to allow for future planning and investment decisions to be made appropriately in relation to these valuable corporate resources.	<i>Asset Manager:</i> Following the Asset Management redesign, this strategy has been rescheduled for completion in 2019 and the Asset Management Steering Group will be reconstituted in April to drive the process. PID: September 2019.	Complete – the Asset Strategy was approved by Executive in November 2019
A reconciliation of non-operational assets should be undertaken between the different data sources.	<i>Estate Management Surveyor:</i> Agreed. A reconciliation will be carried out as suggested. PID: September 2019.	Completed.
Evidence should be retained of any agreements made with regards to rent reductions (including rent free periods) agreed with tenants of non-operation properties.	<i>Estate Management Surveyor:</i> Agreed. Evidence will be retained as appropriate for all agreements made. PID: April 2019.	Completed.

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National Non-Domestic Rates – 11 February 2019		
The VOA should be informed on the change of property use in the cases identified.	<p><i>Revenues & Recovery Manager and Visiting Team:</i></p> <p>Now that we have the Visiting Team Admin Officer (VTA) in post, I will ensure that the VTA report all of these to the VOA by way of Billing Authority Reports from now on.</p> <p>PID: With immediate effect.</p>	This is now business as usual.
Follow-up action should be taken with the VOA for all outstanding notified amendments.	<p><i>Revenues & Recovery Manager and Visiting Team:</i></p> <p>As above, the newly created VTA post will now run the reports using all amendment codes and chase these with the VOA as we do the 'new' properties.</p> <p>PID: With immediate effect.</p>	This is now undertaken on a monthly basis.
The identified cases (and any other similar cases) should be reviewed to ensure that they are either billed where appropriate or deleted from the system.	<p><i>Revenues & Recovery Manager and NDR Team:</i></p> <p>We will look into these, however if a property is not bought into rating, it is excluded from any reporting on total property numbers. I see this as more of a file-tidy exercise than a risk.</p> <p>PID: 31/03/20</p>	This is a file-tidy exercise and will be completed when we are on top of all the outstanding work.

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<p>The listed status of the identified property should be confirmed.</p>	<p><i>Revenues & Recovery Manager and NDR Team:</i> We do check all new cases with 'Historic England' and any cases that are queried, however some have been within the system for years and when I asked Historic England if they could provide a definitive list for our Council, this was not something that was possible. We will look into the case identified and refer to Historic England for advice. PID: Within one month.</p>	<p>All sorted and Historic England is now checked when dealing with any 'Listed building' case.</p>
<p>A review of discretionary reliefs should be performed with applications sought as appropriate. The scoring of the applications should then be undertaken to ensure that the correct amounts of relief are being awarded.</p>	<p><i>Revenues & Recovery Manager:</i> This was planned for 2019/20 anyway so will be done as planned. PID: During financial year 2019/20.</p>	<p>Being undertaken right now during Jan/Feb 2020.</p>
<p>Business Applications: Civica Open Revenues – 28 March 2019</p>		
<p>The System Owner should ensure that all generic Civica accounts are promptly disabled on the live Civica Open Revenues application.</p>	<p><i>Exchequer Services Manager:</i> These have now been disabled. PID: Actioned.</p>	<p>Recommendation addressed immediately. No requirement for update.</p>

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<p>The System Owner should request ICT to develop a monthly report of all unused or inactive Civica application accounts. All redundant Civica accounts should be promptly disabled.</p>	<p><i>Exchequer Services Manager:</i> We now use a report that we receive daily that highlights where passwords have expired (passwords expire after 3 months). These are then reviewed to ascertain whether access is still appropriate. PID: Actioned.</p>	<p>Recommendation addressed immediately. No requirement for update.</p>
<p>ICT management should arrange for all ICT personnel to be assigned individual and uniquely identifiable superuser userids.</p>	<p><i>ICT Services Manager:</i> Accepted. A request has been sent to the System Owner to setup ICT support staff with uniquely identifiable superuser userids. PID: April 2019.</p>	<p>This action was completed by 30th April 2019, when all application support staff received uniquely identifiable login credentials and the IBSSUPER account was handed back to CIVICA.</p>
<p>System Ownership and Management – 31 January 2019</p>		
<p>Management should introduce a requirement that standardised user request forms are completed for key Council systems when requesting new users or changes to existing users access permissions. Forms should be retained to provide assurance that appropriate access rights have been granted to users according to their job role.</p>	<p><i>Deputy Chief Executive (AJ):</i> <i>Not fully accepted</i> System Owners must adopt a standardised process for authorising new users and permission changes which are appropriate to the sensitivity of their application. The new user authorisation and change request must be retained for assurance purposes. PID: 1 April 2019.</p>	<p>New process now in place.</p>

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<p>The accounts in question should be reviewed and all leaver accounts should be disabled.</p>	<p><i>Manager – Development Services (GF):</i> Agreed. We are currently working through the accounts in question to action this. PID: End of February 2019.</p>	<p>Acolaid and IDOX DMS user accounts reviewed. All relevant accounts for users that have left WDC have been disabled.</p>
<p>The accounts should be reviewed and any generic accounts replaced with named individual accounts for those requiring access.</p>	<p><i>Manager – Development Services (GF):</i> We are in the process of identifying the accounts in question. Many of the generic accounts are set up by IDOX engineers for their purposes in supporting us and for testing. However, this is controlled via a 3rd party network access agreement /non-disclosure agreement with IDOX. Further discussion required as to the ability to and appropriateness of complying with this requirement. PID: End of February 2019.</p>	<p>Departmental test accounts disabled when not in use.</p> <p>Generic IDOX accounts are used by IDOX engineers only. They are the only parties who know both the username and password.</p> <p>IDOX have advised that generic accounts are the only option from their perspective and individual engineer accounts would not be feasible.</p>

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<p>A regular account review process should be introduced for key Council systems. This should be performed at least annually and require team managers to confirm that users under their supervision have appropriate access rights within the application and that all leavers have been removed.</p>	<p><i>Deputy Chief Executive (AJ):</i> Accepted. System Owners are responsible for ensuring that a regular user account review is carried out. This review should be performed at least annually to confirm that users have appropriate access rights within the application and that all leavers have been removed. Where a System Owner has not previously carried out a review for their system, one must be completed by 31.07.19. PID: 31 July 2019.</p>	<p>System Owners have been advised of review requirements.</p>
<p>Financial Systems Interfaces – 31 January 2019</p>		
<p>A regular review process should be introduced for folders containing sensitive financial data. This should be performed at least annually and require relevant team managers to confirm that users under their supervision have appropriate access rights and that any leavers have been removed.</p>	<p><i>Strategic Finance Manager:</i> Accepted. Will review in conjunction with ICT and Principal Accountants to assess need. PID: Immediate. (Review will be undertaken annually.)</p>	<p>Time will be set aside to ensure access is relevant and up to date with Principal Accountants. I will liaise with ICT to establish current levels of access.</p>

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<p>ICT should ensure the purpose of the administrator account is reviewed and that the account disabled if appropriate.</p>	<p><i>ICT Application Support Manager:</i> Accepted. The administrator account has been reviewed and one of the accounts within the administrator group has had its access removed from this folder. The remainder of the accounts are required for essential support purposes. PID: Complete – no further action required.</p>	<p>Recommendation addressed immediately. No requirement for update.</p>
<p>Management should investigate the feasibility of improved event logging with the third party supplier.</p>	<p><i>Systems Officer, Finance Systems Team:</i> This would potentially be an enhancement and as we intend to replace the FMS within the next two years then there will be no appetite or budget to pursue this (this is noted in paragraph 4.5.4 of the report). The facility/feature will be taken into account when selecting a new FMS. PID: Not applicable (although will be considered when selecting a new FMS).</p>	<p>Recommendation addressed immediately. No requirement for update.</p>

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Royal Pump Rooms (including Art Gallery) – 27 February 2019		
<p>Invoices should be set up on the system (TOTAL) correctly to enable budget managers to account for them when budget forecasting.</p> <p>Staff should be trained on how to set up annualised orders (for invoices paid in instalments).</p>	<p><i>Arts Manager / Collections and Engagement Manager:</i></p> <p>Training on TOTAL and the correct procedures for annual orders will be given to all appropriate Collections & Engagement staff.</p> <p>PID: By 1 June 2019.</p>	<p>Collections & Engagement staff, based at the Art Gallery & Museum, were trained on how to set up annual orders of Total. 4th April 2019</p>
<p>A key signing-in/out procedure should be adopted for the safe keys.</p> <p>The security of storage for the safe key should be reviewed.</p>	<p><i>Programme and Marketing Manager / Sales and information Supervisor:</i></p> <p>A signing in/out procedure will be implemented and the storage of keys will be reviewed.</p> <p>PID: By 1 April 2019.</p>	<p>A signing in/out procedure for keys was implemented and a new procedure for storing keys.</p> <p>17th May 2019</p>
Leisure and Recreation Facilities – 31 March 2019		
<p>The Code of Procurement Practice should be followed in relation to all purchases. (In this situation it applies as purchases through the year total over £9,999 with one supplier.)</p> <p>Staff should have procurement training and apply the guidance provided by the Procurement team.</p>	<p><i>Sports & Leisure Contract Manager / Sports & Leisure Contract Officer:</i></p> <p>We will go through the policy relating to the procurement to ensure that the main processes are fully understood.</p> <p>PID: July 2019</p>	<p>Staff are conscious of the regulations and the particular incident, which generated the recommendations. A wider pool of suppliers is considered when ordering goods.</p>

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Leisure Facilities Contracts – 29 March 2019		
The summary customer comments reports should include all relevant complaints / compliments.	<p><i>Sport & Leisure Contract Manager:</i> Whilst we have a good handle on customer complaints / compliments from the data we receive from Everyone Active and from our regular client meetings, we acknowledge that we need to agree with Everyone Active a method of collecting customer satisfaction data. PID: August 2019</p>	Everyone Active now provide Customer satisfaction data, which is recorded on the Council Service plan for Cultural Services.
A formal log of all agreed contract variations should be maintained.	<p><i>Sport & Leisure Contract Manager:</i> We have a process for contract variations. However, we will review it and make any required amendments, including the use of Change Control Notes as set out in the contract. PID: August 2019</p>	The process is in place and working, officers are able to review and comment on any programme alterations prior to a change taking place

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Building Control – 15 March 2019		
<p>Staff should (again) be reminded of the correct procedures to undertake regarding the processing of applications, including the completion of relevant fields on Acolaid, the retention of relevant documentation and the need for timely processing.</p>	<p><i>Principal Building Consultants:</i> It is acknowledged that not all officers are completing all fields when processing applications. Principal Building Consultants (PBCs) ensure all site officers are on a rota to provide office cover, where they can be shadowed and retrained when processing applications. The PBCs are conducting regular 1-1's with staff to support and monitor work flow / processing. This should, over time, reduce errors made. Issues highlighted at quarterly case monitoring will be fed back to the PBCs. PID: Sept 2019 with subsequent quarterly monitoring.</p>	<p>Original target date set for Sept 2019, for completion with subsequent quarterly monitoring. To supplement this further, Acolaid training was identified and is currently booked for all officers to be completed end of Jan 2020, with a mop up session booked for Feb 2020.</p>
<p>The supplementary fees should be included in the annual fees and charges report for approval by Members.</p>	<p><i>Head of Consortium:</i> The supplementary fees were discussed at the time of the fees review, but unfortunately they were not presented for approval. This was an oversight, and it is agreed they should have been included for approval by members. This will be done for the next round of fee approval. PID: Sept 2019</p>	<p>An addendum to the Fees and Charges report (which had originally been presented to Executive on 3 October 2019) was presented to Council on 20 November 2019 for Members to approve. This was subsequently approved and implemented as from 1 January 2020 .</p>

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An annual financial statement should be produced and published.	<p><i>Head of Consortium & Assistant Accountant:</i></p> <p>I can confirm this was actioned for 2016/17, but apparently not for 2017/18. A reminder will be placed on the Head of Consortium's calendar to ensure this is actioned for 2018/19.</p> <p>PID: April/May 2019</p>	<p>The financial statement for 2018/19 was uploaded to the Council's website in January 2020.</p> <p>A calendar reminder for Accountancy and Head of Consortium has been entered on Outlook for May 2010 to upload the financial statement for 2019/20 to the website.</p>
Staff should be reminded of the need to ensure that notes are recorded on the system to highlight any fee variations.	<p><i>Principal Building Consultants:</i></p> <p>This will be checked and discussed with officers at the regular 1-1's.</p> <p>PID: Immediately and ongoing.</p>	<p>This was actioned immediately and is ongoing. No requirement for update.</p>
The fee parameter table in Acolaid for 2019/20 should be updated to include the correct figures.	<p><i>Head of Consortium:</i></p> <p>This has since been actioned ready for 1 April 2019.</p> <p>PID: Completed.</p>	<p>Recommendation addressed immediately. No requirement for update.</p>
The quarter one recharge invoices should be checked with the BSM upon her return with charges being raised as appropriate if the figures are found to be incorrect.	<p><i>Business Support Manager & Head of Consortium:</i></p> <p>The quarter one recharge invoices will be checked with the BSM upon her return with charges being raised as appropriate if the figures are found to be incorrect.</p> <p>PID: April 2019.</p>	<p>This was checked immediately on Business Support Managers return and recharge invoices were found to be correct, completed April 2019.</p> <p>No requirement for further action.</p>

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Funding of Voluntary Organisations – 29 March 2019		
<p>Specific evidence should be retained for all grants approved (either formal minutes from the Planning Group or a proforma document which is signed off by the chair of the group).</p>	<p><i>Community Partnership Team Manager:</i> The decisions / recommendations from the Planning Group meetings regarding the vetting and approval of bids to go forward to the Forum will be recorded on a proforma which will be signed by the Forum Chair. PID: 30 September 2019.</p>	<p>All planning groups record their recommendations on a pro forma, signed off by the forum chair, which is then presented at the forums together with bid applications to inform the voting process. Grants approved by the forum are then signed off by Andrew Jones WDC and Kushal Birla, WCC.</p>
Homelessness and Housing Advice (Review of Strategy Objectives) – 28 March 2019		
<p>To further inform development and planning of the future strategy, an assessment should be undertaken of actions to be undertaken against remaining objectives. Progress against these actions should then be assessed on a monthly basis.</p>	<p><i>Housing Strategy & Development Manager / Rough Sleeping Strategic Coordinator:</i> The recommendation to assess actions is accepted however our view is that quarterly is sufficient to monitor progress. PID: June 2019.</p>	<p>This has been incorporated into the Service Area Plan (SAP) and will be picked up as part of the SAP monitoring, as the SAP has a specific entry in the planned changes / projects section regarding the 'Rough Sleeping Initiative' (RSI) strategy and action plan.</p>

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<p>There should be engagement and consultation, regarding the Mental Health Protocol, with mental health service providers, clinical commissioning groups, safeguarding, and social care teams to ensure that it reflects relevant issues.</p>	<p><i>Housing Strategy & Development Manager / Rough Sleeping Strategic Coordinator:</i></p> <p>Since the strategy was approved there have been some key developments at a County level. Warwickshire County Council are funding a pilot scheme involving two Community Psychiatric Nurse posts which will be placed with the street outreach teams but link to the Mental Health partnership trust.</p> <p>Furthermore, a county-wide homeless strategy is being developed which considers addressing the mental health needs of homeless people.</p> <p>We would suggest that events have overtaken the notion of the development of a protocol and it is therefore proposed to put to members, revisions to the strategy to reflect current thinking and practices.</p> <p>PID: Not applicable.</p>	<p>The Housing Strategy & Development Officer is in the process of reviewing the current strategy which will, in future, be split into a 'local' housing strategy and a county-wide homelessness strategy.</p> <p>The county-wide strategy will be supported by the Health and Wellbeing board. Draft Chapters and action points are currently being put together.</p> <p>In the meantime, interagency work has been developed with some of the achievements including:</p> <ul style="list-style-type: none"> • WCC funding of two mental health nurses to work with homeless people • Health led multi- agency meetings established • Poster produced with team descriptions and contact numbers across Health and Social Care and Housing for front line staff.
<p>The Mental Health Protocol should include consent to information being exchanged between parties at the outset and include a quarterly case review process of those considered to be at most risk of becoming homeless.</p>	<p><i>Housing Strategy & Development Manager / Rough Sleeping Strategic Coordinator:</i></p> <p>As above.</p> <p>PID: Not applicable.</p>	<p>See above.</p>

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<p>Cases discussed at the relevant weekly or monthly meetings should be risk-assessed and RAG-rated identifying assigned actions, barriers and further engagement required.</p> <p>Where a case is not discussed, details should be minuted.</p>	<p><i>Rough Sleeping Strategic Coordinator:</i> The recommendation will be actioned as suggested. PID: May 2019.</p>	<p>Cases are being risk assessed at the meetings (which are held fortnightly).</p>
<p>Estate Management – 31 March 2019</p>		
<p>Working patterns and restrictions on overtime should be introduced to provide staff cover and allow budget forecasting to be more accurate.</p>	<p><i>Neighbourhood Estates Manager:</i> WDC are at present recruiting for a Neighbourhood Officer. This will reduce the overtime cover. PID: June 2019</p>	<p>The Housing service redesign has recommended two additional officers in this area and a recruitment process is currently underway to fill these posts. The new posts involve a rota system of working spread across a 7-day working week. This will reduce, if not stop, the need for any overtime.</p>
<p>Overtime should be monitored closely to prevent staff from working more than an average of 48 hours per week.</p>	<p><i>Neighbourhood Estates Manager:</i> As above, Staff have signed a Working time directive opt out agreement on 2nd April 2019. PID: April 2019</p>	<p>Recommendation addressed immediately. No requirement for update.</p>
<p>An up-to-date inventory of valuable and desirable items should be compiled and forwarded to the Insurance and Risk Officer. This should be updated at least annually.</p>	<p><i>Neighbourhood Estates Manager:</i> Neighbourhood officer is at present completing a spreadsheet with items value over £50. To forward onto the Insurance and Risk Officer. PID: June 2019</p>	<p>Recommendation addressed. The spreadsheet has been forwarded to the Insurance and Risk Officer.</p>

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Right to Buy – 4 March 2019		
The Council's website should be updated to include the correct maximum discount figure.	<i>Business Administration Officer:</i> Oversight corrected 7 th February with diary note to uprate to new amount in April 2019. PID: Completed.	Recommendation addressed immediately. No requirement for update.
Consideration should be given to drawing up a formal agreement document containing relevant terms and conditions for the structural surveys 'contract'.	<i>Business Administration Officer:</i> Discussed with Procurement. Agreed standard purchase order terms and conditions on internet sufficient for the work done by current supplier. PID: Completed.	Recommendation addressed immediately. No requirement for update.
Car Parking – 7 February 2019		
Inventories should be updated and should include all items of valuable, portable or desirable nature (e.g. cameras, body cams and new handhelds).	<i>Car Parking Manager:</i> All equipment inventories will be updated at least annually and variances referred to Insurance & Risk Officer. PID: 1/4/19 or sooner if we have the new Handhelds.	This has been completed. Copies available if required.

Current Implementation Position for High Risk Recommendations
issued in Quarter 2 2019/2020

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Utilities Management – 29 August 2019		
<p>The saving included in the FFF Change Programme in relation to energy costs (FFF3) should be reviewed to identify whether this is achievable, with the change programme being amended if required.</p>	<p><i>Asset Manager:</i> The Head of Finance has agreed that base year for savings is 2020/21. Assets is drawing up a project plan and looking to use data from DEC and also from external advisers to look at energy saving proposals. These will need to tie in to the recent Climate Change resolution. Head of Finance is aware that there may be some investment budget required to generate energy revenue savings. PID: 31 March 2020 for energy savings plan / 31 March 2021 for first full year of savings</p>	<p>In Progress: Midlands Energy Hub (part of Nottingham City Council) has been contracted to carry out energy audits and to make recommendations at the Councils 6 highest consumers of energy, these being:</p> <ol style="list-style-type: none"> 1. Royal Pump Rooms 2. Temperate House 3. Oakey Wood Crematorium 4. Town Hall 5. Riverside House 6. Royal Spa Centre <p>The report – due to be received by end March 2020 – will also take into account the need to reduce carbon emissions as part of energy improvement works. Initial provision of £50,000 is sought in the 2020/21 budget to pay for energy savings works and external grants and funding will be sought where available.</p>