

CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 4 2013/14

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Conservation – 13 March 2014		
<p>The Conservation Grants page on the WDC website should be enhanced to include information about the types of grants available, the eligible properties, the amount of the grant and the conditions.</p>	<p><i>Principal Architect / Planner:</i> Improve information on the website for potential applicants to make it clear the amount of grant available. End of May 2014.</p>	<p>A revised web page has been submitted giving more information, which reflects the decisions taken by the Grants Working Party in January 2015. Additional explanatory information is also available on the Grant Inquiry Forms which are linked to the webpage</p>
<p>All relevant paperwork relating to the payment of a grant should be retained on file for future reference.</p>	<p><i>Principal Architect / Planner:</i> Ensure clear audit trail by introducing a new electronic system. End of September 2014.</p>	<p>This work has commenced as part of the electronic delivery of the grant scheme. Some training has been given by Acolaid into the use of the existing planning system for grant work. Historic paper records are being reduced for electronic storage.</p>
<p>Other members of staff in Development Services should receive a basic knowledge of the land charges system in order to be able to provide cover.</p>	<p><i>Head of Development Services:</i> Further staff trained on Land Charges in Development Management Administration. End of September 2014.</p>	<p>Three members of staff are now able to carry out land charges searches. Recommendation implemented.</p>

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Housing Rent Collection – 25 March 2014		
<p>The procedures and guidance notes held by Housing and Property Services should be reviewed periodically and updated by a nominated officer. This should be evidenced by the inclusion of a version control table.</p> <p>Additionally, the Rent Arrears Officer should ensure that the arrears workflow schedule is kept up to date.</p>	<p><i>Business Support Manager:</i> The procedure notes will be reviewed on an annual basis. 30 September 2014.</p> <p><i>Senior Income Recovery Officer:</i> The Senior Income Recovery Officer carries out fortnightly audits on each Rent Arrears Officer weekly workflow and tasks to ensure that all have been completed. Implemented.</p>	<p>On-going: Procedures for business-critical functions within the Business Administration area are documented and available. In summer 2015 all procedures will undergo a rigorous efficiency review and where necessary be updated and implemented with proper version controls (both within the team and using the on-line systems User Guide Library). The Business Administration Manager and newly appointed Service Improvement Manager are liaising to plan the development of a wider library of H&PS procedures and guidance notes</p> <p>No further response required.</p>

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<p>The Business Support Manager should ensure that the annual declaration forms are completed annually by all relevant staff.</p> <p>Additionally, the spreadsheet containing the names of staff, who have completed the form, should be saved and stored on a shared drive, to ensure that it can be readily available for inspection at any time.</p>	<p><i>Business Support Manager:</i></p> <p>The annual declaration forms will be issued annually and a central record maintained on the shared drive.</p> <p>30 June 2014.</p>	<p>Implemented: Last done in April 2014 plus any new employees since last review.</p> <p>Spreadsheet available (password protected) I:\fina\Declarations of Interest\Declaration of Interest 2014.xls</p> <p>Next review and check planned in for April 2015.</p>
<p>The Code of Financial Practice and the Scheme of Delegation should be amended to include the correct authorisation limits for write offs.</p>	<p><i>Business Support Manager:</i></p> <p>The write off authorisation limits have been amended to reflect the Code of Financial Practice and the Scheme of Delegation.</p> <p>Completed.</p>	<p>No further response required.</p>

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Data Protection – 18 February 2014		
<p>The Data Protection Staff Guidelines should be reviewed with consideration given to cross-referencing to other relevant policies and legislative/regulatory relationships.</p>	<p><i>Democratic Services Manager:</i> The purpose of the Audit was to independently establish a base position and highlight the areas of weakness prior to a review of the current arrangements being undertaken. The review is to be completed with assistance from WCC Legal Services and a first meeting has been arranged for 24 February 2014.</p> <p>The review had been agreed as part of the Service Area Plan for Democratic Services because this area of work had not been looked at in detail since 2011.</p> <p>The recommendations are all accepted and will now be built into the review. July 2014.</p>	<p>Draft guidance by Democratic Services Manager produced and being checked with ICT Manager. View to passing to Audit and WCC for agreement by middle of February 2015.</p>
<p>Following review, the Data Protection Staff Guidelines published electronically on the Intranet and incorporated within policies to be released on implementation of the awareness management software solution.</p>	<p><i>Democratic Services Manager:</i> As above. July 2014.</p>	<p>The intention is to roll out the new policies as part of the introduction of the new intranet. However some information will be circulated before this via "how we do it here" (meta compliance), most likely in March 2015.</p>

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<p>An awareness survey should be commissioned to gauge understanding of Data Protection matters among those staff handling personal data.</p>	<p><i>Democratic Services Manager:</i> There was recognition of the need to improve understanding of the skills and provide evidence of training in this area. Therefore as part of the e-learning review a system has been purchased "meta compliance" which will be able to provide independent verification of staff skills and knowledge and develop these. It should be noted that this tool will also be used for other key corporate training. Awaiting confirmation of implementation date from HR.</p>	<p>The intention is to roll out the new policies as part of the introduction of the new intranet. However some information will be circulated before this via "how we do it here" (meta compliance), most likely in March 2015.</p>
<p>A review of personal data collection arrangements should be undertaken across the Council to identify instances where fair processing notices are not provided to proper standard at the point of collection and institute remedial action taken where required.</p>	<p><i>Democratic Services Manager:</i> This is agreed and will be built into the review as per recommendation 1. July 2014.</p>	<p>The intention is to undertake this as the new awareness and training starts in line with the emerging new guidance and policies.</p>
<p>A review of systematic data sharing should be undertaken across the Council to gauge compliance with the Information Commissioner's Code of Practice and recommend formal data sharing agreements where not already applied.</p>	<p><i>Democratic Services Manager:</i> This is agreed and will be built into the review as per recommendation 1. July 2014.</p>	<p>A central register has now been established and some agreements are now stored within it. However this needs to be promoted and communicated to all employees.</p>

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<p>The Data Protection Policy should be updated to reflect systematic data sharing with other organisations and how it is managed.</p>	<p><i>Democratic Services Manager:</i> This is agreed and will be built into the review as per recommendation 1. April 2014.</p>	<p>Draft guidance by Democratic Services Manager produced and being checked with ICT Manager. View to passing to Audit and WCC for agreement by middle of February 2015.</p>
<p>A framework for active monitoring of compliance with Data Protection legislation and good practice should be established with consideration given to reconstituting a network of Service Area representatives.</p>	<p><i>Democratic Services Manager:</i> This is agreed and will be built into the review as per recommendation 1. July 2014.</p>	<p>Consideration of how best to achieve this is being undertaken such as using channels already available of SMT, Senior Officers and Staff voice.</p>

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Media Services – 27 March 2014		
<p>The functions provided by Media Services should be benchmarked against other local authorities' arrangements to confirm that the current organisation of media and printing services is effective and provides value for money.</p>	<p><i>Media Services Manager:</i> Experience when undertaking a review of the service has shown that obtaining useful comparisons from a benchmarking exercise is difficult. Other authorities work and structure their media service differently. Few have print frameworks in place and departments can source their own print with little or no consultation with their print team. The EU print framework WDC has in place demonstrates efficiency and savings. The Communications audit is planned for 14/15 perhaps as a result of that we could look again at the benefits of Benchmarking. March 2015.</p>	<p>No further response required.</p>

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<p>In order to properly gauge customer satisfaction and identify any areas for improvement, formal feedback should be obtained from service users through 'end-of-job' surveys or in a more general way through annual surveys, like those used by ICT.</p>	<p><i>Media Services Manager:</i> Agreed – we will look to do this by the end of the year. December 2014.</p>	<p>Delivery notes were created for each job and when the job is collected the customer signs the paper and has an opportunity to leave a comment about the work & service. We have had in the last 6 months only two comments, both positive. No jobs have gone missing either which used to happen with people collecting jobs on behalf of other people and forgetting about them. Also no-one has been able to take part of a job from another customer which used to happen with brochures. This has now stopped due to us changing storage areas. Overall service improvement.</p>

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Housing Environmental Functions – 10 March 2014		
<p>Forecasts of future resource demands for HMO licensing should be incorporated in the service plans and appropriate budget provisions made to enable early preparation for upsurges of licence renewals due.</p>	<p><i>Head of Housing and Property Services:</i> Recommendation accepted. Sept 2014 and built into the Service redesign proposals.</p>	<p>Ongoing: The service redesign has now been implemented and a review of the HMO licence programme is underway. This will enable us to understand demand peaks and troughs and consider options for smoothing the profile out, including offering applicants the option to relicence early, amending future renewal dates and reorganising staff members workload during period of high demand to ensure that the workload can be managed appropriately.</p>
Town Hall Lettings – 19 March 2014		
<p>Whenever management deems it appropriate, payment in full in advance or a sizeable deposit should be considered for high value lettings.</p>	<p><i>Theatre and Town Hall Manager:</i> To be implemented at the point of agreement between the venue and hirer. Assessment of risk made by Deputy Manager or General Manager. 20 March 2014.</p>	<p>The recommendations from the Town Hall Lettings audit were implemented immediately. The RSC&TH bookings software tracks payments and is able to flag payment dates in advance automatically. Payment terms are included in hire agreements.</p>

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Invoices for Town Hall lettings should be produced on a regular basis and at least monthly.	<p><i>Theatre and Town Hall Manager:</i> Recharges for commercial hires to be completed on a Monday for the previous week. Internal, WDC recharges to be passed to our Accountant on the first Monday of every month for processing. 24 March 2014.</p>	<p>As above- recommendation were implemented immediately. Internal recharges are processed on the first Monday of the following month. Commercial hires / settlements are invoiced weekly.</p>
The insurance implications of Town Hall lettings should be discussed with the Insurance and Risk Officer and procedural changes introduced as appropriate.	<p><i>Theatre and Town Hall Manager:</i> Meeting to be arranged and any action points or alterations of contracts to be implemented. 30 April 2014.</p>	<p>Meeting has taken place and the WDC Insurance Officer had provided additional cover on our policy for those hirers who are unable to source adequate insurance. Evidence of insurance was already a requirement for the confirmation of hires (included in hire agreement).</p>

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<p>The rental for the use of office space at the Town Hall by Warwick University should be collected using the periodic income feature of the debtors system.</p>	<p><i>Business Support Manager:</i> Clarification to be sought from contract services as to the terms of the latest lease renewal and then the charges set up on debtors system. 30 April 2014.</p>	<p>The Estates Manager confirmed in April 2014 that the current lease had only another 1.5 years to run until September 2015. Therefore a periodic invoice was not set up and the invoice for the rental has been raised by the Business Support Manager on the 1st day of each quarter as stipulated in the lease, which will continue to be done in April and July 2015. Should the lease be extended/renewed then the Estates Manager will issue the instruction to raise a periodic invoice as per the standard procedure for leases</p>
<p>Markets and Mops – 31 March 2014</p>		
<p>Formal meetings should be held to discuss / review invoice figures at appropriate stages of the year, in line with the (current) contract, with the FS Team being made aware of the correct figures to be used on the invoices in a timely manner.</p>	<p><i>Business Manager (Town Centre):</i> A formal meeting is to be held during September / October to review stall counts and set next year costs. September / October (annually).</p>	<p>Formal meeting took place. As contract was due to finish in Jan 2015 no changes were made to stall hire costs. Through a tender process a new contractor has been appointed, and are due to commence contract on 1 Feb.</p>

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<p>The fee setting process should be adhered to (i.e. fees to be agreed for the production of the October Executive report for the following year), with notes to the report highlighting that these will be implemented from April, not January as stated in the report (unless agreed differently in the new contract).</p>	<p><i>Business Manager (Town Centre):</i> As above for future years. September / October.</p>	<p>Meetings between WDC and the new contractor have been set, and any raise in stall fees will feature in the October Exec report, in order to change in the following April.</p>
<p>If new fees are being agreed to come into effect from April 2014, an update report should be presented to Executive as appropriate.</p>	<p><i>Business Manager (Town Centre):</i> A meeting with Sketts is already set for 3 April to review this year's fees and an Executive report will follow. Immediate.</p>	<p>Concluded and Exec report postponed.</p>
<p>Formal monitoring should be undertaken to ascertain the number of stalls in place at markets held.</p>	<p><i>Business Manager (Town Centre):</i> Quarterly spot checks to be undertaken by relevant Town Development Officers. A monthly spreadsheet is to be supplied by Sketts showing stall numbers. First check to be made by end of June 2014. Spreadsheet in place by end of April 2014.</p>	<p>Quarterly checks by WDC staff have been ongoing, and the contractor has been providing monthly figures. This will be replicated with the new contractor.</p>

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Annual reminders should be set up to ensure that updated insurance cover details are received from the market operator upon expiry of the certificates provided.	<i>Business Manager (Town Centre):</i> The need to supply insurance details will be covered in the new tender, and reminders will be set thereafter. Immediate.	Reminders set. Insurance documents required as part of tender process also.
Insurance documentation is obtained in respect of all rides operated at the Mop fairs.	<i>Events Managers:</i> Insurance documentation will be obtained for future Mop Fairs. October 2014.	Insurance documents are obtained from event organiser – Tommy Wilson/Showmans Guild that covers the whole event. ADIPS/Safety Certificate obtained from each ride attending the Mop. Insurance Officer attends Safety Advisory groups where such issues are discussed and is aware.
Street Cleansing – 31 March 2014		
The schedules spreadsheet should be reviewed to ensure that it reflects the current agreement.	<i>Senior Contract Officer:</i> Changes to the contract can come from a variety of sources. A new process will be put in place to document how those changes are taken account of in the contract. September 2014.	We currently are reviewing the schedules and coinciding with the New Ranger role making contractual changes which will be completed ready for 1 st April, 2015.
A full review should be undertaken between the variation orders approved and the amounts charged to ascertain if any payment amendments need to be processed.	<i>Senior Contract Officer:</i> Variations are to be controlled via the Senior Contract Officer, who is also responsible for the contract payments. April 2014.	All Variation Orders are completed by the Contract Officer covering the area concerned but these are then cross checked by the Contract Administrator who then signs the order.

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All future invoices should be checked appropriately against approved variation orders, with any discrepancies being rectified.	<i>Senior Contract Officer:</i> Checks will be made as part of the monthly claim and payment. April 2014.	Checks are carried out when monthly invoice is received. Only Variation Orders with official WDC Number will be accepted. Contractor told not to carry out extra work unless this is issued.
Staff are reminded of the need to ensure that an appropriate level of detail is recorded on Flare so that anyone else reviewing the case can ascertain exactly what has been done to resolve the issue.	<i>Senior Contract Officer:</i> This is a training issue for the Area Officers and contractors to ensure the appropriate level of detail is being recorded. Internal training will be arranged as appropriate. April 2014.	This work is ongoing and has been brought up in regular 1 to 1's with the Contract Officers. This will continue on a regular basis to ensure compliance.
A review should be performed of the categorisation and reporting arrangements on Flare to make it useful to the service.	<i>Senior Contract Officer:</i> This is a training issue for the Area Officers and contractors to ensure the appropriate level of detail is being recorded. Internal training will be arranged as appropriate. April 2014.	Due to a recent Service Area restructure a review of categorising will be carried out shortly.
The need for consistency in the classification of calls received should be highlighted to relevant staff.	<i>Senior Contract Officer:</i> Classification of a complaint / enquiry / request for service can be difficult as they are open to interpretation. However, the issue will be highlighted. April 2014.	The issue was highlighted to relevant Business Support staff but due to a recent restructure this will be highlighted again.

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<p>The contractor should be asked to provide evidence that they hold professional indemnity insurance in line with the contract conditions. Annual reminders should also be set up to ensure that updated copies are received upon expiry of the certificates provided.</p>	<p><i>Senior Contract Officer:</i> Up to date insurance certificates will be obtained from the street cleansing contractor. June 2014.</p>	<p>All information has been provided and has been calendared so this information will be provided on an annual basis.</p>
<p>Grounds Maintenance – 31 March 2014</p>		
<p>A formal process should be established for notifying the Senior Contract Officer of any changes to the contract specification that are agreed by other officers.</p>	<p><i>Senior Contract Officer:</i> Changes to the contract can come from a variety of sources. A new process will be put in place to document how those changes are taken account of in the contract. September 2014.</p>	<p>Currently the Green Space Development Officer Simon Richardson agrees any changes to the Contract Specification and notifies the Contract Administrator and contractor with official information/variation orders.</p>
<p>Formal, authorised, variation orders should be maintained for changes to the grounds maintenance contract.</p>	<p><i>Senior Contract Officer:</i> Variations are to be controlled via the Senior Contract Officer, who is also responsible for the contract payments. April 2014.</p>	<p>Checks are carried out when monthly invoice is received. Only Variation Orders with official WDC Number will be accepted. Contractor told not to carry out extra work unless this is issued.</p>
<p>Checks should be undertaken to confirm that the invoices submitted relating to the hours worked by attendants etc. are accurate.</p>	<p><i>Senior Contract Officer:</i> Checks will be made as part of the monthly claim and payment. April 2014.</p>	<p>Checks are carried out when monthly invoice is received.</p>

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<p>Staff should be reminded of the need to ensure that an appropriate level of detail is recorded on Flare so that anyone else reviewing the case can ascertain exactly what has been done to resolve the issue.</p>	<p><i>Senior Contract Officer:</i> This is a training issue for the Area Officers and contractors to ensure the appropriate level of detail is being recorded. Internal training will be arranged as appropriate. April 2014.</p>	<p>This work is ongoing and has been brought up in regular 1 to 1's with the Contract Officers. This will continue on a regular basis to ensure compliance.</p>
<p>A review should be performed of the categorisation and reporting arrangements on Flare to make it useful to the service.</p>	<p><i>Senior Contract Officer:</i> This is a training issue for the Area Officers and contractors to ensure the appropriate level of detail is being recorded. Internal training will be arranged as appropriate. April 2014.</p>	<p>Due to a recent Service Area restructure a review of categorising will be carried out shortly.</p>
<p>The need for consistency in the classification of calls received should be highlighted to relevant staff.</p>	<p><i>Senior Contract Officer:</i> Classification of a complaint / enquiry / request for service can be difficult as they are open to interpretation. However, the issue will be highlighted. June 2014.</p>	<p>The issue was highlighted to relevant Business Support staff but due to a recent restructure this will be highlighted again.</p>
<p>Contract Officers should receive appropriate training to allow them to identify whether the work performed under the contract is in line with the agreed specification.</p>	<p><i>Senior Contract Officer:</i> This is a training issue focusing on any areas of the contract that they are unfamiliar with. Internal training will be arranged as appropriate. May 2014.</p>	<p>This is ongoing and has been brought up in regular 1 to 1's with the Contract Officers. The CO's are spending time with the Green Space Development Team on a regular basis to continue to gain the necessary knowledge and further training courses will also be undertaken.</p>

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Budgets for the relevant codes are set in line with the figures agreed in the contract.	<p><i>Senior Contract Officer:</i> To be checked monthly as part of the contract payment process. April 2014.</p>	At the start of the financial year all orders for the forthcoming year are inputted onto TOTAL so we can measure the relevant codes on a monthly basis when we receive the relevant invoice from the contractor.
The contractor should be contacted to ask for copies of current insurance certificates to ensure that cover is still held. Annual reminders should also be set up to ensure that updated copies are received upon expiry of the certificates provided.	<p><i>Senior Contract Officer:</i> Up to date insurance certificates will be obtained from the grounds maintenance contractor. April 2014.</p>	All information has been provided and has been calendared so this information will be provided on an annual basis.