

**SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS  
ISSUED QUARTER 2, 2014/15**

<b>Report Reference</b>	<b>Recommendation</b>	<b>Risk Rating<sup>1</sup></b>	<b>Responsible Officer</b>	<b>Management Response and Target Implementation Date</b>
<b>Committee Services – 26 September 2014</b>				
3.5.8	Future phases for both CMIS development and Councillor iPad roll-out (if pursued) should follow PRINCE2 methodology utilising the corporate project resources.	Low	Democratic Services Manager	Agreed. The development of CMIS is currently at a pause to enable discussions with our supplier on this area. When development resumes this will be built around a robust business case and plan. IPAD project December 2014 With regard to the Ipad project this will be developed as part of the review of the current trial in December 2014. CMIS project as required.

<sup>1</sup> 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 Rating <sup>1</sup>	Responsible Officer	Management Response and Target Implementation Date
<b>Shared Legal Services – 20 August 2014</b>				
4.3.3	Management should ensure that budget setting for Shared Legal Services takes due account of the Agreement commitment and that any significant variation from the sum provided for is by mutual agreement between Warwick District Council and Warwickshire County Council.	Low	Deputy Chief Executive and Monitoring Officer/  Head of Finance	Agreed. This will be remedied for 2015/16 budget setting. February 2015 (WDC budget setting).
4.4.10(1)	The Shared Legal Services User Guide should be refreshed including update of content and expansion to cover (where applicable) standing mandates and internal expectations including financial responsibility and ensuring compliance with relevant Council policies.	Medium	Deputy Chief Executive and Monitoring Officer	Agreed. WCC refreshing User Guide for WDC/WCC sign-off. 30 September 2014.
4.4.10(2)	The documents accompanying the Shared Legal Services User Guide on the Intranet should be updated.	Low	Deputy Chief Executive and Monitoring Officer	Agreed. This has been done and will accompany refreshed User Guide. 31 October 2014.
4.4.10(3)	The refreshed Shared Legal Services User Guide should be relocated, together with the accompanying documents, to a more appropriate and prominent Intranet site and all authorised commissioning officers notified.	Low	Deputy Chief Executive and Monitoring Officer	Agreed. Will be done once User Guide refreshed. 31 October 2014.

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4.4.10(4)	All newly authorised commissioning officers should be advised of the Shared Legal Services User Guide and instructed to familiarise themselves with it.	Medium	Deputy Chief Executive and Monitoring Officer	Agreed. Will now be done on a rolling basis. 30 September 2014.

**Corporate Training – 31 July 2014**

An audit was undertaken to test the management and financial controls in place in the following the operational areas:

- Strategies and Policies
- Planning and Programming
- Budgets and Procurement, and
- Monitoring, Feedback and Reporting

The control objectives examined were:

- The learning and development of officers is structured to help meet corporate objectives
- The training and development needs of staff are identified
- Training is planned around identified needs
- Staff are aware of the training that is available to them
- Training is provided to the correct staff
- Corporate training is provided in line with available budgets
- Value for money is achieved in the procurement of training courses
- Training provided meets the needs of staff
- Members and senior managers are aware of the training provided and the impact of this towards achieving the council's objectives.

The review was able to give a SUBSTANTIAL degree of assurance that the systems and controls in place for the management of Corporate Training are appropriate and are working effectively.

The review did identify, however, a number of issues that were on the 'to do' lists of the interim staff members. Whilst no formal recommendations were made in these instances, they were noted in the report to formally acknowledge that there are current issues.

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<b>Corporate Properties Repair and Maintenance – 30 September 2014</b>				
4.3.4 (a)	A procurement exercise needs to be undertaken regarding door entry works at corporate properties covering the works currently being undertaken by Baydale and Dorma.	Low	Asset Manager / Building, Surveying & Construction Manager	It was agreed with the previous Procurement Manager that the service should be absorbed into the current contract with Baydale as no response was received from suppliers during the unsuccessful procurement exercise undertaken in 2012/13. It is proposed to confirm this approach with the current Procurement Manager and act accordingly. December 2014.
4.3.4 (b)	The out-of-hours situation should be investigated to ascertain if Pinners can provide this service. If not, procurement options should be investigated.	Medium	Asset Management Team	The risk of challenge is considered, by the Asset Manager, to be very low. Whilst the out-of-hours work could be split between contractors, the current arrangements are considered to be the most efficient for WDC, as it removes the need to pay several contractor duty officers. Provision for the service is made in relevant contracts. Out-of-hours instructions are carefully managed to ensure that assets are made safe and secure in the first instance and then all follow-on work is redirected to the principal contractors. N/A.

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4.3.4 (c)	The use of the Electric Centre by Warwick Plant Maintenance staff should be formalised or consideration should be given to the use of a procurement card if appropriate.	Low	Asset Manager / Energy Manager	Agreed. Officer time will be dedicated to following up this action. April 2015.
4.3.4 (d)	The procurement options around the use of Ser-Tec Systems Ltd should be investigated, with a formal contract being put in place if no other suppliers are able to provide the service.	Medium	Asset Manager / Energy Manager	Agreed. Work will be undertaken to ascertain if other suppliers are available and the contract issue will be resolved accordingly. April 2015.
<b>Royal Spa Centre – 17 September 2014</b>				
4.3.2	The petty cash imprest should be reduced to £100 with the balance of £350 being repaid.	Low	Theatre and Town Hall Manager	Laura Bates (Deputy Manager) will arrange for the £350 to be banked and liaise with Finance. 1 <sup>st</sup> October 2014.
4.6.5	Merchant copies of debit and credit receipts displaying the full 16 digit account number should have the first 12 digits obliterated.	Medium	Theatre and Town Hall Manager	Debbie Hanks (Customer Services Manager) will enquire of HSBC whether it is possible for the terminals to blank out the 12 digits. If not – will implement procedure to obliterate the numbers manually. 1 <sup>st</sup> October 2014.
4.6.13	Appropriate measures should be taken to remedy the present difficulties with the monitoring and allocation of Royal Spa Centre income.	Medium	Head of Finance	Meeting with John Gould, Stephen Falp, Philippa Sheasby and David Guilding to address? TBC.

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4.6.16	Invoices for hirings of the Royal Spa Centre should be raised regularly and no more than a month after the event has taken place.	Medium	Theatre and Town Hall Manager	David Guilding and Laura Bates to implement in weekly procedures. Immediately (17/09/14).
4.6.16	Consideration should be given to demanding payment in advance for hirings unless there are good reasons why this may be inappropriate.	Medium	Theatre and Town Hall Manager	David Guilding and Laura Bates to implement in weekly procedures – where appropriate. Immediately (17/09/14).
<b>Development Management – 30 September 2014</b>				
4.1.7 (a)	Ensure all appropriate records are retained on IDOX.	Low	Development Management Team Leader	This is important in ensuring transparency within the service. This will be highlighted to all relevant officers and monitored at an appropriate level to ensure compliance. 30 Nov 2014.
4.1.7 (b)	Ensure Site Visit Reports are completed with sufficient detail.	Low	Development Management Team Leader	As above. 30 Nov 2014.
4.1.7 (c)	Ensure all relevant consultation responses are included in reports.	Medium	Development Management Team Leader	This is important in demonstrating that all appropriate consultation responses have been properly taken into account in the decision making process. Action as above. 30 Nov 2014.

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4.1.7 (d)	Ensure that the scheme of delegation is adhered to for all planning applications received.	Medium	Development Management Team Leader	This is crucial in ensuring that decisions are made at the appropriate level. Action as above. 30 Nov 2014.